

Strengthening the Foundation, Sharpening the Edges & Leading the Community

Strategic Review for the Division of Equity and Inclusion

**PREPARED FOR
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TABLE OF CONTENTS

EXECUTIVE SUMMARY	1
INTRODUCTION	5
Strategic Context	5
Strengthening the Foundation, Sharpening the Edges and Leading the Community	5
Process	6
Report Outline	6
SECTION 1: DEI BENCHMARKING OF LEADING PUBLIC RESEARCH UNIVERSITIES	8
Three Sources of Benchmarking Data	8
Benchmarking Limitations	8
DEI Demographic Insights: Students, Faculty, Management	9
Overall Demographic Insights	9
Demographic Lessons for UC Berkeley	10
Insights on Strategic Diversity Leadership Capabilities	12
Calibration Tool for Considering Strategic Diversity Leadership Capabilities	12
1. Institutional Expressions of Commitment	13
2. DEI Strategic Plans in a National Context	13
UCB's DEI Framework Is Dated	13
A Clear Model: The University of Michigan DEI Activation Plan	14
3. Moving Towards Stronger Institutional Accountability for DEI Leadership	16
DEI Planning and Accountability Lessons for UC Berkeley	17
4. DEI Brand and Communication	17
Social Media and Communication Strategies in National Context	17
Social Media and Communication Lessons for UC Berkeley	20
5. Chief Diversity Officer Divisional Insights in a National Context	20
General CDO Role Analysis	20
CDO Divisional Structure Analysis	22
Unit Design Lessons for UC Berkeley	23
Span of Control Lessons for UC Berkeley	23
Budget Mix and Discretionary Resource Lessons for UC Berkeley	26
Summary	27
SECTION 2: PERCEPTIONS OF THE UCB EQUITY AND INCLUSION DIVISION	28
Thematic Impressions and Research Triangulation	28
E&I Divisional Strengths at UC Berkeley	29
Cultural Programming and Expertise Is a Towering Strength at UCB	29
Nationally Acclaimed Models within the Division	30
VCEI Brings Symbolic and Strategic Value to the Campus	31
The Chancellor and VCEI Leadership Support for DEI	31
Reflective Comments: Strengths	31
E&I Divisional Concerns	32
E&I Division Leadership Needs to Improve Strategically and Operationally	33
Division Mission and Structure Need to Evolve	33
Lack of a Campus-Wide DEI Activation Plan	35
Reflective Comments: Concerns	36
Lessons Learned for UC Berkeley Regarding Challenges	36
Summary	37

SECTION 3: THE CHIEF DIVERSITY OFFICER FRAMEWORK	38
A Formal Definition of the CDO Role	38
Conceptual Framework: The Chief Diversity Officer Development Framework (CDODF)	38
Five Basic Elements of Chief Diversity Officer Design	38
Misaligned Strategic Span of Attention and Control	42
Summary	42
SECTION 4: RECOMMENDATIONS	43
Vice Chancellor for Equity and Inclusion: Embodying Vision plus Mission plus Values	43
The Goals: Strengthen, Sharpen, Lead	44
Ten Recommendations for the VCEI	44
SECTION 5: CONCLUDING THOUGHTS AND NEXT STEPS	51
How to Leverage this Report	51
CITATIONS	53
APPENDICES	54
Appendix A. Student Demographic Insights	54
Undergraduate Trends	54
Graduate Student Trends	56
Appendix B. Faculty Demographic Insights	57
Appendix C. Management Demographic Insights	58
Appendix D: Selected Comments from Study Participants	60
Reflective Comments: Strengths	60
Reflective Comments: Concerns	61
ABOUT THE AUTHORS	64
The Center for Strategic Diversity Leadership & Social Innovation: Research Team	64
About the Center for Strategic Diversity Leadership & Social Innovation (CSDLSI)	65

EXECUTIVE SUMMARY

In the fall of the 2019/2020 academic year, University of California Berkeley's Vice Chancellor Oscar Dubón, Jr., contacted the Center for Strategic Diversity Leadership and Social Innovation in Atlanta, Georgia, to request a third-party overview of his Division of Equity and Inclusion (E&I). He asked us to review the division's structure, function, operational leadership, long-term strategy and practices. It takes great courage for the leader of a diversity, equity and inclusion (DEI) unit themselves to call for a good hard look at their own work, their own team and the division they lead.

Strengthening the Foundations, Sharpening the Edges and Leading the Community

This review takes place in an environment of fiscal challenges and sacrifices in the last few years across the University of California system, unprecedented leadership turnover at the chancellor and provost levels between 2013 and 2017, not to mention three VCEs in four years. These uncertainties had destabilized E&I operations and now require a threefold approach to regaining UC Berkeley's once leading position in higher education DEI:

- (1) *Strengthening the foundations* of the division by creating a clear and inspirational campus-wide strategic plan and framework, bolstering investment and activating it step by step.
- (2) *Sharpening the edges* and scope of the division, by developing a divisional plan to enhance nimbleness and asking how every part of the organization can best serve the mission.
- (3) *Leading the campus community* forward in these issues by strengthening leadership in E&I and igniting the extraordinary potential already within the division, university and region.

Section 1: DEI Benchmarking of Leading Public Research Universities

Ten public institutions were selected that were most similar to the University of California Berkeley in terms of control, size, research intensiveness, decentralization and strategic prominence within their states. They had to have a high-level CDO leadership role and division that has existed for at least 10 years. We examined the strategic diversity leadership capabilities, chief diversity officer division and demographic profiles.

Demographics

To study the demographic profile for students, faculty and management, we used data for selected universities from the Integrated Post-Secondary Education Data System (IPEDS) for the years 2015-2017.

Results: Nationally UCB and its peers experienced growth in the demographic diversity of their students, although UCB is one of a handful that reported a drop in the percent of under-represented minority tenure-track faculty and women tenure-track faculty in the period, and can benefit from tightening its strategic focus on recruitment and retention, possibly by studying faculty turnover in detail. The university's HSI goals are powerful (and can be tightened) as is its African American initiative (which we did not review).

Strategic Diversity Leadership Capabilities

Our review of strategic diversity leadership capabilities focused in five qualitative areas: (1) Institutional expression of commitment to DEI, (2) DEI strategic planning, (3) DEI accountability and implementation systems, (4) DEI brand and communication systems, and (5) DEI officers as key leadership in the schools, colleges and units where DEI work happens daily. Taken together, these pieces give a clear snapshot of how institutions are advancing issues of DEI.

Results: Most of UCB's benchmark institutions engage in many of the DEI activities at some level, but their execution may not be strong enough to define that academy as a national leading model.

- (1) *Institutional Expressions of Commitment to DEI.* Every institution in this study made DEI an important part of their outward-facing institutional commitment, including UCB. In comparison, however, UCB's framework is dated. Originally established in 2009, it led the field in its day yet has since been surpassed by its peers. Given the potential in the E&I division, this can be remedied.
- (2) *DEI Strategic Plans in a National Context.* Campus-wide activation efforts for DEI are often problematic, with most having few mechanisms in place to connect leadership of academic schools and units to the DEI efforts outlined in the campus and strategic plan. Decentralized implementation was a challenge when UCB's 2009 plan came online, and it has never been resolved. Today the University of Michigan embodies the strongest DEI activation plan, backed by a significant financial commitment, which can be used as a model for UCB and other institutions.
- (3) *Moving Towards Stronger Institutional Accountability for DEI Leadership.* Institutions are focusing on creating centralized transparency and ownership of the DEI change journey through reporting, shared metrics and frameworks of progress. UCB boasts a strong fundraising approach yet needs to develop an updated DEI framework and strategic plan as a campus-wide activation approach with clearer accountability systems.
- (4) *DEI Brand and Communication.* In many ways, UCB's DEI web environment is among the best in the country, especially in terms of integrated digital media and the available tools and resources. Surprisingly, there were no links to the campus's DEI infrastructure of diversity officers, units and leaders in the schools and colleges, and this would be a key improvement. Thought could be given to the "Equity and Inclusion" branding as well (see recommendations).
- (5) *Chief Diversity Officer Divisional Insights in a National Context.* UCB's VC-level CDO reporting directly to the chancellor is a national best practice, and this relationship should be deepened and exercised at UCB, establishing a cadence of one-on-one meetings and greater engagement.

Typically we see two types of DEI officers: (1) A career CDO who knows their function and needs only learn the ropes around the new institution they are hired into, or (2) An internal promotion, typically from a faculty position with DEI responsibilities, who can immediately tap their familiarity with the institution. The core responsibility of the second type, which includes VC Dubón, is to apprehend their job role, as well as the CDO framework and operational structure, and to develop their executive leadership capabilities. This set of tasks can be broad and challenging. In such cases, we typically recommend executive coaching around implementing the role, which VC Dubón received in fall of 2019 and early 2020.

- *Design and Divisional Structure Lessons.* UCB has one of the three largest CDO divisions and is, laudingly, one of the most diverse as well. It boasts top fundraising efforts. As a vertical unit, E&I needs its own unit-based operational plan to bring the division together, create a shared sense of purpose and develop a strong divisional identity.
- *Span of Control Lessons.* UCB E&I is running lean in terms of leadership—leaner than any in the benchmarking group, which can take a toll. It is time to build the senior leadership and operational team while focusing the unit's portfolio to remain nimble. Several roles need to be clarified and possibly split. Consider a Deputy CDO.
- *Budget and Resource Lessons.* While UCB is one of the top three budgets in the country, its budget is also the least flexible, providing little priority for new ventures—an opportunity for improvement.

Section 2: Perceptions of the UCB Equity and Inclusion Division

In listening sessions, interviews and open-ended surveys, 118 people engaged with the Center for Strategic Diversity Leadership and Social Innovation.

Strengths. UCB is rife with culturally relevant strategic capacity in its nationally acclaimed Othering and Belonging Institute, precollege and undocumented student programming, fundraising and more. The division is very diverse, and its members work long and hard in multiple dimensions doing emotionally difficult work, often without recognition. Leaders around campus champion the mission and values of E&I. The VCEI himself brings strategic value to campus and is considered personable and enthusiastic about his mission.

Concerns and Limitations. Resource challenges are the greatest limitation at UCB as is the misaligned spans of attention and control, as noted above. Participants in our survey noted four main areas of concern: (1) financial and human resource challenges, (2) leadership that needs to improve strategically and operationally, building clarity, vision, planning and outreach, (3) an outdated mission and structure, and (4) the lack of campus-wide DEI strategy hinders shared responsibility and long-range impact.

Section 3: The Chief Diversity Officer Framework

This report's insights and recommendations are informed by our design model, the Chief Diversity Officer Development Framework, which is based on current research and theory as well as national best practices. The model for a high-impact Chief Diversity Officer (CDO) and unit requires key principles of both structure and function.

Reporting to the chancellor, the Chief Diversity Officer (CDO) is an institution's highest-ranking diversity administrator. The CDO is an integrative role that coordinates, leads, enhances and, in some instances, directly supervises formal diversity capabilities to create an environment that is inclusive and excellent for all. In this context, diversity is not merely a demographic goal but a strategic priority fundamental to creating a dynamic educational and work environment that fulfills its teaching, learning, research and service missions.

The conceptual framework for an ideal CDO role and office is embodied in five elements: (1) Strategic diversity platform and agenda that defines DEI, (2) Vertical infrastructure or spans of control, (3) Lateral diversity infrastructure, or how the unit and CDO reaches out as an integrator of institutional DEI capabilities, (4) Change management systems to drive diversity efforts, and (5) The officer's skills, knowledge, background and leadership abilities. We used this model to analyze the UCB E&I division.

Section 4. Recommendations

UCB's Division of Equity and Inclusion in many ways remains a national model that other institutions should look to aspirationally. The campus therefore requires a skilled chief diversity officer and effective division that function in a way that reflects their historically leading position and the promise the division holds today.

We do not recommend taking any radical actions at this time. The most important of our recommendations is the first: With the bountiful foundation and excellence in this division, now develop a clear plan of action for the next 12-18 months to truly amplify all that has been developed to date and to get back on track strategically and operationally, both within the division and campus-wide.

Our nine other recommendations are designed to repair and strengthen issues that have arisen in the division (as issues do) that will act to brake any attempted acceleration. Combined, these ideas create a strategic first round of crucial steps to elevate the division back into fulfilling its original vision and mission at a national level.

The Goals: Strengthen, Sharpen, Lead

- (1) The Vice Chancellor of E&I and the division need more resources centrally to **strengthen** the muscles of the division and be successful.
 - i. *The comprehensive 12- to 18-month VCEI acceleration plan and timeline*, to begin addressing outstanding strategic, leadership, operations and communication challenges, plus a regular cadence of meetings of the entire E&I division.
 - ii. *New staffing*: 2-3 more leaders at the AVC level, plus new staff that focus on strategic diversity leadership, administrative and operational needs.
 - iii. *An updated DEI strategic framework* to reinvigorate the approach at E&I.
 - iv. *Build a DEI campus-wide activation and coordination plan*, modeling against U Michigan.
- (2) The Vice Chancellor of E&I and his team need to **sharpen** the internal strategy, structure, collaboration and operational excellence of the division.
 - v. *Bring the E&I division unit portfolio into focus* in six strategic leadership areas led by an AVC: (1) Belonging & Community Building, (2) Pre-College Programs, (3) Strategic DEI Leadership & Capacity Building, (4) Student Equity & Success, (5) the Othering and Belonging Institute, and (6) the Chief of Staff operational team. Build a formal Deputy CDO role and strengthen the Chief of Staff role. Consider rebranding as the Division of Diversity, Equity and Belonging.
 - vi. *Establish a new unit*, the Office of Strategic DEI Leadership and Capacity Building, within the E&I division. Consider re-allocating into the unit, and develop a senior role for the unit, ideally, the Deputy CDO.
 - vii. *Partner with the Othering & Belonging Institute* for divisional and campus-wide impact.
- (3) The Vice Chancellor of E&I and his team need to provide integrative **leadership** to the campus community on DEI strategy, policy and capacity building.
 - viii. *Convene a northern California CDO roundtable* to coordinate a shared collective-impact DEI agenda for the region, leveraging UCB's unique academic, cultural, research and human capital pipeline to UCB's the world-class, innovative corporate neighbors.
 - ix. *Develop a DEI Innovation Fund* to drive partnerships/priorities campus-wide, 250K+ annually.
 - x. *NIXLA*. Consider leading a UCB E&I team at the next National Inclusive Excellence Leadership Academy (NIXLA) online institutional planning program, to work on this action plan.

The vision, mission and core values of the Division of the VC for Equity and Inclusion, must become the strategic rallying cry as E&I's foundations are strengthened by adding staff in key leadership and operational roles, as the edges of the division are sharpened by repositioning staff and units, and as leadership is honed by the VCEI and carried into the entire UCB campus community, northern California and to the world. Collectively, these steps will take E&I at Berkeley to the next level, potentially returning it to national leadership in the field of DEI.

Thank you for the opportunity to serve your intentions and efforts as you strengthen the University of California Berkeley Division of Equity and Inclusion. We at CSDLIS look forward to your next steps and are proud to be a friend to your work.

INTRODUCTION

In the fall of the 2019/2020 academic year, University of California Berkeley's Vice Chancellor Oscar Dubón, Jr., contacted the Center for Strategic Diversity Leadership and Social Innovation to request an overview of his Division of Equity and Inclusion (E&I). He asked us to review the division's structure, function, operational leadership, and long-term strategy.

The division is a mature one, with UCB having implemented its first DEI plan over a decade ago in 2009. At the time, UCB was on the leading edge of higher education's foray from perfunctory EOE offices to proactive DEI enterprises. The division has grown organically since then and includes the nationally known Othering and Belonging Institute of Berkeley (formerly the Haas Institute) as well as a powerful portfolio of effective, nationally leading internal programs as well.

We are often called by chancellors and presidents to review a university's diversity, equity and inclusion (DEI) practices. It takes great courage for the leader of a DEI unit itself to call for a good hard look at their own work, their own team and the division they lead. We want to express the greatest respect for Dr. Dubón and his leadership team in asking a third party to step in and closely examine where they stand, where they could be and how to accelerate moving forward, and we recognize his intentions were to serve the greatest good of the university and the people it in turn serves. The entire team has shown great character in their frankness with us in discussing the challenges that exist and in sharing their ideals for what this division could achieve.

Strategic Context

It is important to recognize that the leadership of Vice Chancellor Dubón and his ability to achieve success to date have been complicated by several important university-wide leadership and environmental challenges beyond his control, which he inherited:

- *Fiscal challenges across the University of California system* have made for difficult choices in the last several years. Administrative capacity within the Division of E&I was sacrificed to preserve financing for direct services to students, even though the E&I division did not have much strategic elasticity to spare.
- *Unprecedented leadership turnover at the chancellor and provost levels* between 2013 and 2017 destabilized the university broadly and the campus's diversity, equity and inclusion (DEI) efforts specifically. These events occurred at about the time the university would have likely been either considering a new DEI plan or updating the 2009 plan, *Pathway to Excellence*. Today's hyper-decentralized campus environment truly requires a clear DEI "north star" vision.
- *Turnover in the role of VCEI*, with three different leaders serving in the role across four years, also created stagnation and dramatically destabilized the E&I division.
- *A difficult national climate* during the second decade of the 21st century has impacted and even eroded the work of DEI, making it both more challenging and more important than ever before.

In some aspect, the E&I division at Berkeley continues to lead in the nation. Yet the above and other factors have significantly eroded its operations, shared identity and overall strategic impact. Today the division needs its foundations restored, its organization honed and its leadership team solidified in order to elevate its DEI operations in a way that matches the academic excellence of Berkeley.

Strengthening the Foundation, Sharpening the Edges and Leading the Community

Such context defines the division's challenging environment today and must be navigated deftly. Yet Berkeley physically and intellectually sits at a nexus of diversity and innovation. Four factors (and more)

converge to create almost explosive potential for the E&I division at Berkeley: (1) Its status and resources as a longtime leading research institution and DEI innovator, (2) Its proximity to neighboring Silicon Valley and many of the world's most innovative companies (Google, Uber, Facebook, etc.), (3) Its location in a state with a steadily growing diverse population, and (4) As the home to growing numbers of diverse students, staff and faculty.

This report looks to offer insights and strategies that serve three main goals:

- (1) *To help **strengthen the foundations** of the division at Berkeley.* Given the stagnation that came from outside circumstances and a lack of consistent leadership in recent years, the VCEI has a tremendous opportunity at this time to rethink and strengthen the foundations of the E&I division. Creating a clear and inspirational strategic plan and framework, bolstering investment and activating it all step by step will reorient the unit in a bedrock layer of purpose and direction.
- (2) *To help **sharpen the edges** and scope of the division.* Every organization that grows needs an occasional modest pruning and it's time to examine the division and ask, "does this function belong here or can it operate more effectively in another structure?" Adding a new function to enhance the division's nimbleness and developing the function of existing structures will sharpen the picture and only improve the division's capacities and effectiveness.
- (3) *To **lead the campus community** forward* in these issues and, potentially, back into national leadership in all dimensions by igniting the potential already within the division and the region. Part of this leadership component requires the VCEI to keep the leadership team connected, inspired and moving forward effectively to implement a vision and strategic plan.

Process

This report's insights and recommendations rest on a foundation built of current research and best practices garnered from our experience working with hundreds of institutions of higher learning and companies across the United States. Data and insights have emerged from a number of exploratory activities with UCB over the last few months:

1. A review of UCB's diversity, equity and inclusion division structure, as well as current and historical documents and reports.
2. Two-days of in-person interviews with over 118 individuals and leadership across campus, as well as virtual interviews.
3. A careful analysis of the structure and capabilities of 10+ leading peer institutions in order to garner a top-level benchmarking comparison that considers national models of practice and gives perspective to UCB's E&I function.
4. A consideration of evidence-based diversity officer design and strategic diversity leadership principles associated with moving this work forward in an intentional and effective manner.

Report Outline

We present our findings from these analyses as well as ten recommendations in five sections:

- *Section 1: DEI Benchmarking of Leading Public Research Universities* provides a top-level benchmarking analysis relevant to building the campus's diversity and inclusion infrastructure.
- *Section 2: Perceptions of the UCB Equity and Inclusion Division* summarizes the UCB viewpoints gathered from outside the E&I division, providing insights into potential improvements.

- *Section 3: The Chief Diversity Officer Framework* overviews our research-based design model for a high-impact chief diversity officer unit that clarifies key principles of both structure and function.
- *Section 4: Recommendations* offers 10 key steps towards improving the functioning and efficacy of the division and regaining its nationally leading position while supporting the UCB community.
- *Section 5: Concluding Thoughts and Next Steps* offers a few final thoughts as well as a three tips on how to strategically put this report into use.

SECTION 1: DEI BENCHMARKING OF LEADING PUBLIC RESEARCH UNIVERSITIES

The decision to examine and to benchmark the operations of the division of Equity and Inclusion at UC Berkeley is a strong step forward in ensuring that the institution stays current and actualizes its leadership position with peer institutions in serving its diverse community. Without sound organizational design, divisional leadership and strategic interaction with other senior leaders, however, diversity officers can disempower their function and efficacy.

UC Berkeley's E&I division is ahead of the game in being so firmly established, well-funded and longstanding in its operations. In section 3, we review the scholarly foundations of the CDO role and divisional structure, including the five-part Chief Diversity Officer Framework, that were used as both a structural and theoretical framework for our analyses and recommendations in sections 1, 2 and 4.

The DEI strategic review in this section provides a 100,000-foot view at a number of institutions that are similar to the University of California Berkeley in terms of control, size, research intensiveness, decentralization and strategic prominence within their states. A key factor in selecting these institutions for benchmarking was that they have a high-level CDO leadership role and division that has existed for at least 10 years. We examined the strategic diversity leadership capabilities, chief diversity officer division and demographic profiles of eleven institutions in total (Exhibit 1.1).

Three Sources of Benchmarking Data

Three primary sources of data power this review:

- (1) Information publicly available through websites, social media and public documents.
- (2) Data gathered from the Integrated Post-Secondary Education Data Systems (IPEDS).
- (3) Data gathered through primary interviews with chief diversity officers and others conducted at seven of the eleven institutions.

Benchmarking Limitations

While this comparative context is evidence-informed and theoretically grounded, this review has limitations:

- First, no comparative assessment of institutions is ever an apples-to-apples comparison. Every university is nested in a unique fiscal, policy, cultural and regional context. Policy dynamics relevant to UCB, including such issues as: (1) The elimination of the ability to use race/ethnicity in competitive admissions decisions because of Proposition 209; (2) explosive demographic growth of the Latinx community in California and states like it, including Texas, and their relatively slower growth in the Midwest; (3) deep fiscal challenges of public higher education in some states, while other institutions have much more solvent fiscal realities; and (4) variation in more- or less-conservative state legislatures and local politics—all these factors create 11 different strategic contexts that institutional leadership must balance.
- Second, interviews were only granted by seven of the 11 institutions (including UCB) in this study. As a result, we do not have complete data on the strategic diversity leadership and CDO divisional capabilities of Indiana University, University of Minnesota and The Ohio State University.
- The third limitation in this analysis is that the most current and accurate IPEDS information is for the years up to and including 2017. The 2018/2019 data was not complete at the time of this analysis, and no more data were available. As a result, our analysis focused on 2015-2017 three-year trend data, as well as data for the 2017/2018 academic year.

Exhibit 1.1. Peer benchmarking review framework

Institutions	Dimensions	Description	Areas of Interest
<ul style="list-style-type: none"> • UC Berkeley • UC Los Angeles (included only in demographic analysis) • UC San Diego • Indiana University • The Ohio State University • University of Michigan • University of Minnesota • University of Texas Austin • University of Virginia • University of Washington • University of Wisconsin–Madison 	Demographic Overview of University	Key demographic variables indicating general DEI progress along dimensions of race, ethnicity and gender among faculty, students and management.	<ul style="list-style-type: none"> • URM student representation • Gender student representation • URM graduation rates • URM tenure-track faculty diversity • Women tenure-track faculty diversity representation
	Strategic Diversity Leadership Capabilities	Important elements associated with implementing a campus-wide DEI commitment in word and deed.	<ul style="list-style-type: none"> • Institutional expressions of DEI • DEI brand and communication • DEI strategic plans • DEI accountability and implementation • DEI officers
	Chief Diversity Officer Divisional Capabilities	Strategic elements that define a high-functioning higher education CDO unit in terms of spans of attention, control and relationships.	<ul style="list-style-type: none"> • Leadership reporting structure • Direct reporting units • Lateral diversity infrastructure • Budget and financial resources • Fund-raising and development • Faculty Diversity Approach

- A fourth limitation involves the way institutions define DEI plans, accountability, units, departmental budgets, senior leadership teams, and capacities differently. To address this variance, we had to make reasoned judgments in building the SDL capabilities and CDO divisional analysis in a way that is grounded in our extensive past experience, relevant research and conversations with leaders.
- A fifth limitation reflects how fearful many institutions are about providing detailed financial information about their DEI efforts in an attempt to avoid any unintended consequences and backlash that may come as a result. For this reason, we coarsened the information throughout this report and never report financial budgets in precise numbers. Again, this report is intended to be directional more than exact, for this reason and others.

DEI Demographic Insights: Students, Faculty, Management

Overall Demographic Insights

Exhibit 1.2 compares demographic trends of all 11 UCB comparison institutions, across a number of student, faculty and staff dimensions. We use a thematic rating system to illustrate how the institutions compare to one another. A single check mark indicates a negative or downward trend between 2015-2017. Two check marks indicates a positive trend, up to 10% improvement, while three check marks indicates rapid growth of more than 10% during this three-year period.

Nationally peer institutions in this analysis experienced growth in the demographic diversity of their institution. Latinx, Asian American, Black and women undergraduate and graduate student populations generally increased at most institutions (Exhibit 1.2 and Appendix A).

Directionally UCB is making good progress in terms of undergraduate and graduate student diversity, although increasing the number of African American/Black students remains a persisting challenge. Powered by increases in the number of Latinx and women graduate students, UCB experienced positive

growth between the years 2015 and 2017. This same success does not exist for Black/African American students, however (Exhibit 1.2 and Appendix A).

UC Berkeley is one of a handful of institutions that reported a relative drop in the percentage of URM tenure-track faculty and women tenure-track faculty during the years 2015-2017 (Exhibit 1.2 and Appendix B). URM and women leaders also experienced a drop-off in their leadership presence at the management level, between 2015-2017 (Exhibit 1.2 and Appendix C). The decline in women and URM faculty and leadership suggests a need to tighten the strategic focus of the university where it relates to faculty and staff diversity recruitment and retention.

Exhibit 1.2. Benchmarking trend analysis by select institutions: demographic categories 2015-2017

	URM Undergraduate Students	URM Graduate Students	Women Graduate Students	URM TT Faculty	Women TT Faculty	URM Leadership	Women Leadership
UC Berkeley	√√√	√√√	√√	√	√	√	√
UC San Diego	√√√	√√√	√√√	√√√	√√	√	√
UC Los Angeles	√√√	√√√	√√	√√	√√	√	√
Indiana University	√√	√√√	√	√	√√	√√√	√√√
The Ohio State University	√√	√√√	√√	√√	√√	√√√	√√√
University of Michigan	√√√	√√√	√√	√√	√√	√√	√√
U Minnesota–Twin Cities	√√	√√√	√	√√	√	√√	√√√
University of Texas Austin	√√	√√√	√	√√	√√	√√√	√√√
University of Virginia	√√	√√√	√√√	√√√	√√	√√√	√√√
University of Washington	√√	√√√	√√	√√	√	√√√	√√√
U Wisconsin–Madison	√√	√√	√	√	√	√√	√√

Source: *The Integrated Post-Secondary Education Data Systems (IPEDS)*.

Key: √ = Declining Trend (<0% Trend), √√ = Positive Trend Growth (1-9%), √√√ = Rapid Trend Growth (>10%)

The presence of a diverse and culturally capable leadership team and faculty will be essential, as the University continues to lean into its vision to become a designated Hispanic Serving Institution (HSI) over the next several years. Diverse language capabilities, support systems for Latinx students, community engagement with the Latinx community, and curricular innovations that focus on the unique history and social justice challenges of diverse groups, have all been identified as key tactics to put into place, especially when HSI status is achieved.

Demographic Lessons for UC Berkeley

- While these data have limitations, they did suggest that UC Berkeley is trending positively on undergraduate and graduate student diversity generally but has limitations in terms of African American/Black students. This situation no doubt led to the African American Initiative. While we did not review this initiative, it would be interesting to do a formative analyses of this project in real time to determine what outcomes and successes have emerged.

Exhibit 1.3. Strategic diversity leadership dimensions and tactics to shape DEI implementation on campus and beyond, select institutions

Dimension	Description	Key Tactics
1. Institutional Expressions of Commitment	Public expressions of commitment to DEI as an institutional and strategic priority.	<ul style="list-style-type: none"> • Senior leadership comments • Public statements of DEI priority • Senior leadership letters to the community • Prominence of DEI websites and gateway
2. DEI Strategic Plan	A campus-wide framework designed to advance diversity, equity and inclusion using a clear set of priority actions to drive change.	<ul style="list-style-type: none"> • Definition of diversity • DEI priority areas framework • Strategic, big-bet change initiatives • Recommendations to drive change • Timeline for implementation • Implementation leadership • Clear public statements of financial support
3. DEI Accountability & Implementation Campus-Wide	Campus systems designed to create a visible and transparent approach to implementing the campus DEI plan over time. Formal processes and reporting systems designed to ensure that DEI is a strategic priority in schools, colleges and units. It is not enough to say that DEI is a campus-wide priority: how is it operationalized as a campus-wide priority?	<ul style="list-style-type: none"> • Transparent DEI plan reporting process • Clear timelines for DEI reporting • Annual public DEI forums to discuss progress, challenges and new initiatives • Annual dean- and VP-level progress report by schools, colleges and units • Formal review of annual DEI progress reports • Formal feedback given on DEI annual progress reports • DEI activation leaders and committees in schools, colleges and units • Regular CDO meetings with schools, colleges and units around DEI implementation • Central funds are systematically leveraged to drive local activation in schools, colleges and units • Innovation funds exist to allow campus-wide leaders to apply for small grants to drive DEI implementation and activity • CDO has discretionary resources to partner around DEI
4. DEI Brand and Communication	Clear communication of the institutional DEI brand, commitments, plans, priorities, officers, units and programs, connecting diversity and inclusion to the overall brand of the institution, allowing internal and external audiences to constantly know what is going on and interact with DEI-related priorities on campus.	<ul style="list-style-type: none"> • Clear DEI portal to central and campus-wide DEI efforts • Clear CDO website illustrating the mission, division, units, priorities and leadership • CDO-specific social media channels • DEI newsletters/magazines • DEI blogs, radio shows, podcasts, etc.
5. DEI Officers	Diversity officers in schools, colleges and units are a key part of the lateral diversity infrastructure of a campus. How are these important roles structured to be successful? Are they inconsistently designed, resourced and positioned to provide leadership on DEI issues, broadly defined at the student, faculty and staff levels?	<ul style="list-style-type: none"> • DEI officers are appointed campus-wide in schools, colleges and units • DEI officers are positioned to be impactful and are ranked at a similar level of seniority • DEI officers have a dotted line or hard line to the CDO, to drive campus-wide coordination and leadership • DEI officers regularly receive professional, financial and/or strategic support from the CDO to ensure a high caliber of skill and knowledge in implementation of DEI plans, initiatives and priorities

- The HSI goal is a powerful one, and an HSI task force, co-chaired by the VCEI, recently presented the findings and recommendation for becoming an HSI. Our experience with other institutions that have similar goals is that they have not developed a clear framework and plan for how to achieve that goal. We recommend continuing to strengthen the HSI framework and goal structure and leveraging that as part of an overall DEI strategic framework and agenda, points that we return to in the next section of our benchmarking analysis.
- It might be clarifying to implement a faculty turnover study in order to determine the degree to which the university historically underserved groups come and go in a relatively short amount of time, with new hires simply replacing those that left for any number of voluntary or involuntary reasons. Indeed, a study of faculty turnover at several California institutions revealed that many institutions never truly increase their level of faculty diversity, because they are constantly replacing URM faculty that leave.

Insights on Strategic Diversity Leadership Capabilities

This review of strategic diversity leadership capabilities focused in five qualitative areas (Exhibit 1.3): (1) Institutional expression of commitment to DEI, (2) DEI brand and communication systems, (3) DEI strategic plans, (4) DEI accountability and implementation systems, and (5) DEI officers as key parts of the lateral diversity infrastructure that provides leadership in the schools, colleges and units where DEI work happens daily.

These strategic diversity leadership capabilities have a high level of complementarity to one another. When taken together, they represent an important snapshot of how institutions are advancing issues of diversity, equity and inclusion from a general strategy and structure perspective. Again, this level of review does not allow us to go deep into specific tactics; it does, however, provide insights that can help UCB to calibrate and set a solid general direction regarding strategy and structural approaches to building its DEI infrastructure on campus.

Calibration Tool for Considering Strategic Diversity Leadership Capabilities

These capabilities were analyzed using a three-level framework. Those dimensions given a single check mark (✓) were identified as an area of growth and improvement; those with two check marks (✓✓) are viewed as consistent with standard practices of DEI leadership in the academy; and three check marks (✓✓✓) identify areas of clear strength and, indeed, a national model for others to emulate.

This three-level review is grounded in our research and work with hundreds of institutions that are working to build strategic diversity leadership capability (Williams, 2013; Williams, Berger, & McClendon, 2004; Williams & Wade-Golden, 2013).

A simple way to interpret this three-level valuation is that, for any given institution, one check mark means that less than half of the key tactics are in place and well implemented. Two check marks mean that the majority of their key tactics are in place and appear to be well implemented. Three checks imply that all of the tactics are in place and well implemented. Moreover, to be valued at level three suggests that this institution is implementing all of their tactics with rigor, discipline and focus.

Most of UCB's benchmark institutions engage in many of the activities listed in Exhibit 1.4 at some level, but their execution may not be strong enough, when examined, to define that academy as a national leading model. When institutions earned a three-check rating, execution was defined as embodying a towering strength version of their model, where you can see clear initiatives, systems and approaches that are novel, unique and evidence-informed in comparison to other institutions. UC San Diego and University of Michigan can be considered nationally leading institutions in this regard, and all or nearly all of their evaluations rated three checks (Exhibit 1.4).

1. Institutional Expressions of Commitment

Every institution in this study had a strong institutional expression of commitment to DEI, including UCB. We saw very few differences between how each institution was expressing DEI as a priority.

Senior leaders offered letters and websites and integrated DEI into top priorities, nearly across the board. One thing that did stand out was that only the University of Michigan made the decision to quantify the magnitude of their 5-year commitment to DEI strategic plan and implementation at \$85 million. This financial expression of their intentions creates a powerful symbolic and material commitment to DEI that was not reflected at other institutions, although both UT Austin and the University of Washington were quite comfortable talking about their division's staff and resources publicly.

The Universities of Michigan, Austin, and Washington have all experienced similar policy and legal challenges to race conscious policy as UC Berkeley. While the California state policy context is different, this willingness to discuss DEI financials openly, is an insight that may be useful to UCB leaders, as you work to strengthen your DEI strategy, brand, fund raising, and infrastructure over the next several years.

One leader at a comparison institution described it as follows:

"We just made the decision that we can't hide our commitments to these issues. The more we are proactive and talk about the commitments, the less that critics can say about a lack of transparency. It's about strategically making DEI a priority in all we do, and really getting out front with that message. If we need to talk about our staff or budget publicly, we do. And we are prepared to answer the questions that may emerge as a result."

2. DEI Strategic Plans in a National Context

Across the seven institutions in this part of the analysis, every one has made DEI an important part of their outward-facing institutional commitment (Exhibit 1.4). Most have made a clear connection to DEI in their strategic and academic plans and in their developed dedicated DEI plans. The integration of DEI into the university's strategic plan helps to ensure that DEI is part of the overall big-picture conversation of institutional priorities. At the same time, too often, we find that diffusing DEI into the overall academic plan means losing sight of the unique challenges and resistance to campus DEI efforts, particularly if the integration effort is not complemented by a dedicated DEI framework, plan and activation strategy. Next, we take a look at UC Berkeley in national context.

UCB's DEI Framework Is Dated

When comparing UCB to its peers, we felt that UCB's integration of DEI into its overall strategic framework was strong (Exhibit 1.4). There is an intensive need for a consistent, dedicated effort toward developing a new plan or to revisiting the existing plan. The division reported that a great deal of time and leadership resources have been spent responding to chancellor requests for various DEI efforts, for instance the undergraduate diversity initiative. More recently, the graduate division has also completed its diversity initiatives and reported to campus leadership. The challenge presented here is for the current VCEI to map out an overarching strategic plan and align efforts for the entire campus.

UW-Madison, UT Austin and the University of Minnesota Twin Cities all referred to their DEI plans as part of their overall campus strategic plans (Exhibit 1.4). This specific shout-out of the DEI plan for more focus, clarity and activation guidance is a promising practice for UCB to emulate. More specifically, UCB's current DEI plan, now 10 years old, appeared dated versus peer institutions. Six of the seven institutions included in this part of our review have either recently developed a new DEI framework and plan for their campus or they were in the process of creating an overall framework to guide the campus's DEI efforts into the future.

Where UCB's 2009 framework, at the time, was a clear leader over its peers, the lack of a current framework that provides a 2020-level diversity definition, goals, priorities and guidance around accountability, infrastructure and resources represents a clear opportunity area for UCB moving forward. While it is admirable to lead by being historically the first, leading by being contemporarily the best is certainly preferred. Among institutional peers that we spoke with, every one of them mentioned the need to strengthen their DEI campus-wide activation efforts, with most having very few techniques in place to connect the local leadership of academic schools and administrative units to the overall DEI efforts outlined in the campus and strategic plan.

Given the resistance to DEI change that exists on campuses, the lack of a decentralized activation system is a clear challenge to implementing DEI efforts that are owned locally and roll up to more than the sum of their parts collectively. The lack of a clear DEI activation plan to guide implementation locally is an opportunity area at UCB, especially given the university's decentralized nature.

It is important to note here that decentralized implementation was also a challenge when UCB's 2009 plan came online, and it has never been resolved. To this date, the DEI officers in the schools, colleges and units at UCB are not aligned in dotted-line relationships to the UCB CDO unit in a clear manner. This lack of alignment and shared ownership will return in our presentation of findings that emerged from our campus discussions with leaders.

A Clear Model: The University of Michigan DEI Activation Plan

We were most impressed by the plans in place at the University of Michigan and UC San Diego (Exhibit 1.4). The University of Michigan plan in particular is strong in creating a shared DEI vision and activation process in a hyper-decentralized research-intensive environment. No institution has a DEI activation plan that is as well developed as the University of Michigan's.

Some highlights of UM's plan include:

- A shared framework for reporting on DEI progress against overall institutional goals.
- A DEI community of practice that owns DEI implementation locally across 50 academic and administrative units.
- A formal DEI activation lead in every school or college that must be at a certain level of seniority and rank to serve in this role.
- An annual DEI campus-wide forum and conference to share best practices and progress taking place in the schools and colleges.
- President authorized accountability for implementation across campus.
- The CDO team has clear responsibility for the DEI implementation process, gathering and reviewing reports, providing structured feedback, professional development support to guide implementation.
- Announcing of \$85 million financial investment into DEI, with more than \$40 million in new financial allocations across five years.

Exhibit 1.4. DEI strategic plans, select institutions

Institution	Strategic Planning & Implementation for DEI	Integrated DEI Plan	Integrated Plan Launch	Dedicated DEI Plan	Dedicated Plan Launch	DEI Activation Plans	DEI Plan Summary Assessment
UC Berkeley	DEI is strongly expressed as a major element of three strategic pillars of the new (2019) campus strategic framework, <i>Charting a Path Forward at the Sesquicentennial</i> , and also as one of five core values and institutional pillars. The DEI campus framework was developed in 2009. This plan is now more than 10 years old, and no clear plan for campus-wide decentralized activation exists.	√√√	2019	√	2009	√	√√
UC San Diego	DEI is comprehensively expressed as a top priority across the values, goals, strategies and measures of the strategic framework (2014), and it is highlighted in one goal in particular. The campus-wide DEI strategic framework for Inclusive Excellence launched in 2018 with the first campus-wide accountability meetings occurring in 2019. The E&I division also has a DEI strategic framework that was used in 2014-2017 as a bridge to the campus DEI strategic framework. Their approach to DEI campus-wide implementation is promising.	√√√	2014	√√√	2018	√√√	√√√
University of Michigan	The University has 10 strategic priorities, but no clear public facing strategic plan. DEI is one of these priorities and is the most clearly articulated as a strategic framework and plan for implementation campus-wide (2016-2020). U of M has a clear DEI strategic activation plan campus-wide, including a well-coordinated network of DEI officers, local plans and committees in its schools and colleges. This arrangement stands as a national best practice for decentralized DEI planning, implementation and accountability.	√√	2016	√√√	2016	√√√	√√√
University of Minnesota Twin Cities	The University of Minnesota is currently transitioning to a new strategic framework (2021), closing their 2014 framework <i>Driven to Discover</i> . In the older framework, DEI is well integrated across all five dimensions of the plan and actively called out in several areas. The University DEI strategic framework was created in 2009 and shapes campus-wide activation efforts. While a best in class DEI community practice model exists here, there is no systematic DEI campus-wide activation system of local plans, coordinated implementation and shared DEI accountability in the schools, colleges and units.	√√√	2014	√√	NA	√√	√√

Institution	Strategic Planning & Implementation for DEI	Integrated DEI Plan	Integrated Plan Launch	Dedicated DEI Plan	Dedicated Plan Launch	DEI Activation Plans	DEI Plan Summary Assessment
University of Texas Austin	UT Austin does not have a clear public facing strategic plan but does have four strategic priorities that are outlined on the president's website. DEI is mentioned as one of three strategic pillars that seem to cut across these priorities. There is a well-articulated DEI framework that came online in 2017 and informs the campus-wide model of diversity. While the institution enjoys a widely regarded best-in-class CDO divisional model, the campus-wide DEI activation model is much less clear, as no systematic reporting and accountability model exist in the schools, colleges and units across campus.	√√	2017	√√	2017	√	√√
University of Virginia	The University of Virginia is in a transition process to new CDO leadership and working to enhance and evolve their model. DEI is embedded in their <i>Great and Good</i> (2019) strategic plan. The university developed a new Inclusive Excellence strategic framework in 2019. No campus-wide DEI plan and infrastructure exists currently.	√√	2019	√	NA	√	√
University of Washington	The campus strategic framework implies DEI in several areas, with few direct mentions of DEI. The <i>Race and Equity Initiatives</i> is specifically identified as a top priority and one action statement has a special callout for the implementation of the campus-wide Blueprint for Diversity Framework (2017-2021), which is the university's dedicated diversity plan. Campus-wide activation is a priority of this plan, and it calls out a need for a more standardized approach to accountability and implementation in the schools, colleges and units on campus. This activation system is still evolving and has yet to fully come online.	√√	2018	√√	2017	√	√√
University of Wisconsin–Madison	UW-Madison's campus strategic framework implies DEI in several areas, with few direct mentions of DEI. One action statement has a special callout for the implementation of the campus DEI Framework (2015) as a top priority. The campus-wide DEI framework sets an ambitious 10-year vision for DEI at UW-Madison across three phases. This 10-year approach is a model that UW-Madison has used across multiple cycles over the last 40 years. No systematic model for decentralized DEI planning, implementation and shared accountability was evidenced in our review.	√√√	2014	√√	2015	√	√√

Key: √ = Opportunity for Growth, √√ = Professional Standard, √√√ = Towering Strength

3. Moving Towards Stronger Institutional Accountability for DEI Leadership

Where the University of Michigan offered the strongest DEI plan and implementation effort by far, it was obvious that UC San Diego is moving in this direction, implementing annual DEI accountability meetings in every school, college and administrative unit during the 2019/2020 academic year. UC San Diego's efforts in terms of DEI planning, communication platforms, CDO leadership and divisional leadership were impressive. Given their presence in the UC system, connections can easily be made and lessons learned in terms of how to strengthen the CDO operation at UCB by knowledge-sharing with this unit.

UT Austin, University of Washington, U of Minnesota, and UW-Madison each had significant centralized DEI frameworks and commitments to action, but it was not clear how these efforts are being implemented locally. When we spoke with officers during our data-collection activities, they all mentioned strengthening DEI activation campus-wide as a top priority of their efforts.

In that regard, each of these institutions seems to be on a similar path, focusing on creating centralized transparency in reporting, defining shared metrics and frameworks of progress, and helping their university to have a more serious and shared ownership of the change journey. Whether considering the UT Austin DEI accountability dashboard or the UW Madison REEL strategic framework, it was clear that they are all moving in this direction.

DEI Planning and Accountability Lessons for UC Berkeley

- UC Berkeley has a very strong integration of DEI into their overall strategic plan and, from our limited view, one of the strongest DEI fundraising approaches in the country.
- UCB should strongly consider developing an updated DEI framework and strategic plan, similar to that of University of Michigan, University of Texas Austin, University of Wisconsin-Madison, UC San Diego and the University of Minnesota.
- UCB should consider developing a DEI campus-wide activation approach that allows for creativity yet, at the same time, aligns to the big-picture framework, similar to the University of Michigan.
- UCB should consider developing an approach to accountability that is similar to the U of Michigan.

4. DEI Brand and Communication

Social Media and Communication Strategies in National Context

Most institutions in this review expressed strong DEI commitments in their web and digital environments, although social media was clearly an opportunity area at nearly every institution (Exhibits 1.5 and 1.6).

When looking at the UC Berkeley DEI digital environment, the division's capabilities were generally strong as they relate to providing a hub for DEI issues on campus, providing DEI updates, highlighting the CDO division, reporting DEI data, bias reporting, requesting DEI funding and links to social media (Exhibit 1.6). In many ways, UCB's DEI web environment is among the best in the country at comparable institutions.

We were impressed by the way that you integrated digital media into your web environment versus comparable institutions in our survey. In particular, the "Read, Watch, Listen" portion of your website creates a great platform for DEI storytelling, brand building and community engagement (Exhibit 1.6). No other university had a similar communication strategy, featuring podcasts, stories, books, documentaries and more. This approach should be leveraged into an even stronger social media presence. Unfortunately, UCB was not a DEI social media leader, ranking near the bottom or middle on a number of social media categories. UCB had amassed fewer DEI Facebook, Twitter, Instagram and YouTube followers than the national average of peer institutions (Exhibit 1.5).

UCB also had more tools and resources readily available from your central gateway page than your peers (Exhibit 1.6). Continuing to build on these tools and resources should be a priority, because these are the tools that spark shared understanding, collaboration and decentralized leadership.

Surprisingly, there were no links to the campus's DEI infrastructure of diversity officers, units and leaders in the schools and colleges. This vacuum is a low-hanging-fruit opportunity for the university, particularly now that there are more assistant and associate dean level positions across campus. External parties want

Exhibit 1.5. DEI social media capabilities, select institutions

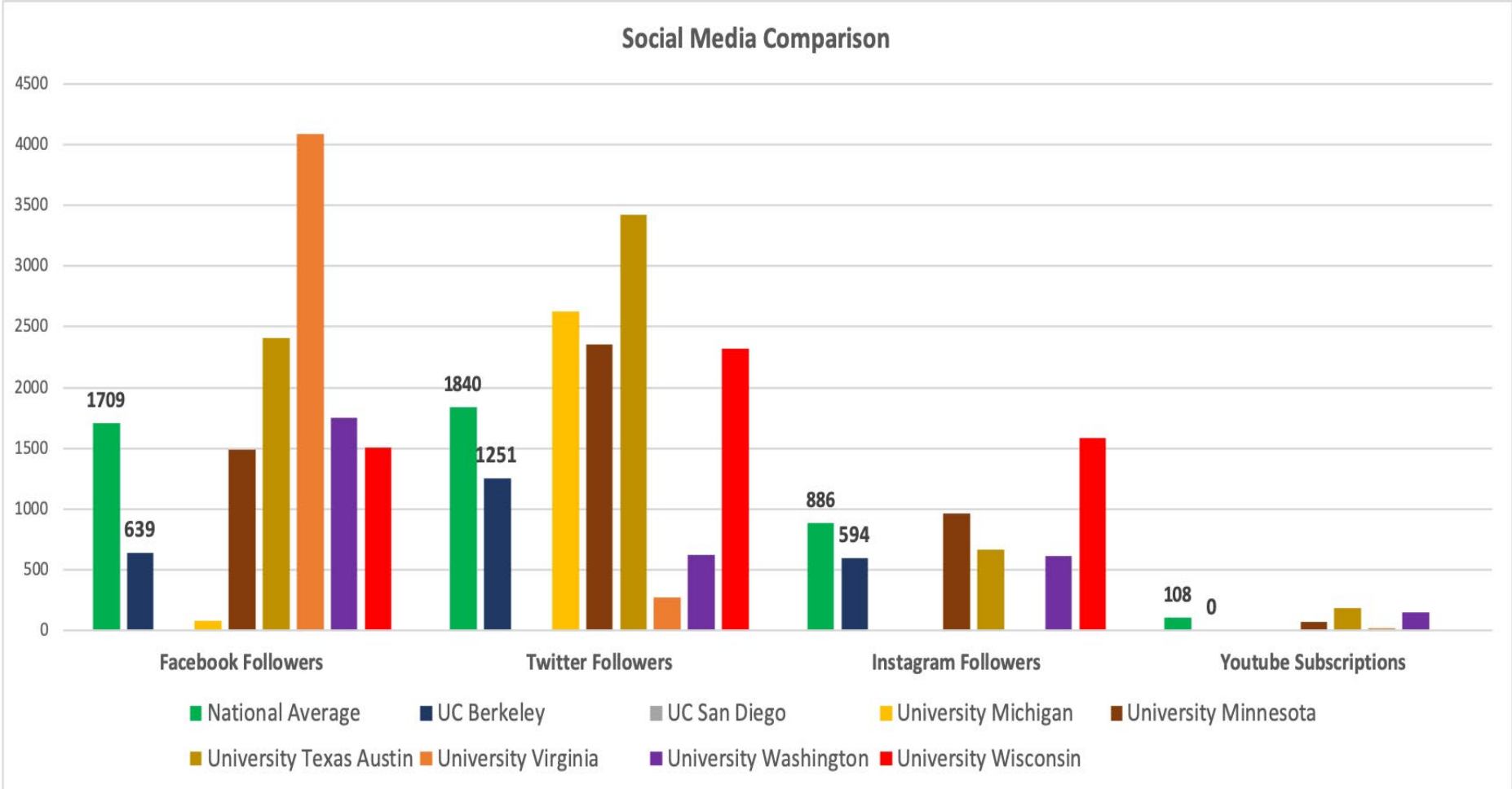


Exhibit 1.6. Brand analysis of DEI website, select institutions

Institution	Central Hub for DEI	DEI News & Updates	CDO Division Easily Found	Links to DEI Campus-Wide Infrastructure	Data & Reports	DEI Funding & Partnership Opportunities	Toolkits & Resources	Donations Giving	Bias Reporting	Multi-Media	Links to Social Media
UC Berkeley	√√	√√	√√	√	√√	√√	√√√	√√	√√	√√√	√√
UC San Diego	√√	√√	√√	√	√√	√√√	√	√√	√	√	√
University of Michigan	√√	√√	√√	√√	√√√	√	√√√	√√	√√	√√	√√
University of Minnesota	√√	√√	√√	√√√	√√	√√√	√	√	√√	√	√√√
University of Texas Austin	√√	√√	√√	√√	√	√	√	√√√	√√	√	√√
University of Virginia	√√	√√	√	√√	√√	√	√	√	√√	√	√
University of Washington	√√	√√	√√	√√√	√√	√√	√√	√√		√	√√
University of Wisconsin–Madison	√√√	√√	√√	√√√	√√√	√√	√	√√	√√	√	√√

Key: √= Opportunity for Growth √√= Professional Standard √√√= Towering Strength

to know who is leading on DEI issues. Having a link to officers, a DEI-focused speaker portal of campus experts and other tactics would strengthen how community members use this centralized portal.

Social Media and Communication Lessons for UC Berkeley

- UC Berkeley has one of the strongest DEI web environments in the country, buttressed by your digital storytelling capabilities, comprehensive framework of web-based information, and presence of digital web tools.
- UC Berkeley could strengthen your DEI web environment with a stronger linking strategy to DEI officers, units, and initiatives taking place in the schools and colleges.
- UC Berkeley should develop a plan to strengthen your DEI social media presence, exploring ways to develop your Facebook, Twitter, YouTube, and Instagram presence. All have opportunity areas. UT Austin presents the most consistent social media strategy and provides opportunities for learning and strengthening your approach.

Given your strength in this area, UC Berkeley should consider how you can evolve your strategy to be the clear higher education leader in digital DEI communication. UC Berkeley should be known for this moving forward, building from your strong foundation.

5. Chief Diversity Officer Divisional Insights in a National Context

General CDO Role Analysis

The large majority of leaders identified in this study are at the vice president or vice chancellor rank and carry the CDO nomenclature as a courtesy title for describing their roles on campus (Exhibit 1.7). This naming convention is consistent with national guidance in this area (Williams & Wade-Golden, 2013).

Institutions use a confluence of different words to describe their CDO roles, but the majority feature some combination of the “Diversity,” “Equity” and “Inclusion” titles (Exhibit 1.7). Only UT Austin has integrated community engagement into their CDO’s span of attention and includes community engagement as a formal title for the position. It should be noted that the University of Minnesota and the University of Virginia both have units in their DEI portfolios that expressly work on community and economic development. This growing trend is something for UCB to consider as well, since the UCB vice chancellor’s scope of attention is increasingly focused on external DEI matters.

Reconsidering the UC Berkeley Equity & Inclusion Brand

Berkeley’s titular choice of “Equity and Inclusion” seems appropriate, but we do wonder if adding the term “Diversity” may be important given the challenges in diversifying with regards to the African American/Black population, the emergence of the HSI designation as a strategic priority and the challenges encountered diversifying faculty and staff ranks across the board. While Proposition 209 complicates this terrain, it does not change the strategic importance of the need to continue diversifying the institution. This change is something that should be considered, but it is not imperative.

The presence of the *Othering and Belonging Institute* is a clear strategic advantage that should be leveraged. The “belonging” concept is growing in use nationally in both the higher education and private sectors, particularly at leading technology companies, in great part due to the work of the Institute. UC Berkeley should consider making the concept of belonging a part of the divisional brand, mission, strategic and operational plans moving forward. Doing so would create a powerful intersection between the division and the campus community, and leverage this theory and research into practice in a prominent way.

We see also clear fundraising and partnership opportunities between UC Berkeley and the technology community, leveraging your content expertise in this regard as well.

Presidential Reporting Relationships

The national standard is for the highest ranking CDOs to report to the chancellor/president and, at times, to the provost. Two officers in this study have direct reporting relationships to the provost, with dotted lines to the chancellor. We do not recommend demoting the reporting structure at UC Berkeley in this manner.

Everyone we interviewed talked about the importance of having a strong relationship with their chancellor. This relationship was defined by a series of regular one-on-one meetings, participation in the chancellor's senior cabinet, leading with the reflective power of the chancellor's office and being asked to provide strategic leadership around issues of DEI. In the words of one officer, "You have to have a strong relationship with the chancellor. If you don't, you are dead in the water. This is a non-starter; the relationship must be tight. If it's not, there is always going to be tension that must be resolved because these issues are political, fast moving and crushing."

The UCB Vice Chancellor of Diversity and Inclusion should look to further strengthen his relationship with the office of the chancellor. In addition, acknowledging that the VCEI serves on a great number of leadership bodies, including the council of deans, long-range development planning, space committee, executive coordination board for admissions and enrollment, etc., it would be advantageous for the VCEI to engage on finance and faculty promotion committees as well.

CDO Appointments and Their Background Characteristics

The officers in this study were all fairly new, having been in their roles roughly 3.5 years (Exhibit 1.7). UC Berkeley and UC San Diego both experienced quick turnover in their CDO roles prior to their current officer's appointment. In nearly every other instance, the officer prior to the incumbent served in their role for a minimum of five to 10 years. Our experience is that the CDO divisions at big research universities tend to feature stable leadership appointments, particularly at those institutions where the role leads a large and vertically integrated CDO division as well as a campus-wide DEI activation plan.

Officers in this study came to their roles via two distinct pathways: (1) Those who were internal appointments typically came from distinguished tenure-track careers; or (2) Officers who are career diversity officers have navigated their careers on a strategic diversity leadership trajectory, working in top-level CDO divisional units at comparable research universities prior to their appointment. This distinction is important.

Nationally, the career CDO versus faculty-appointed CDO is a point of demarcation in the role (Williams & Wade-Golden, 2013). Those officers who arose from faculty have the benefit of insider knowledge, of being respected as a tenured faculty member, and of needing little time to adjust to the culture of the institution. These officers often enjoyed a strong DEI research agenda in their appointment as faculty, whether they were from social sciences, humanities, professional schools or STEM. Their challenge, however, is typically that they often do not fully understand their new job role and may have to grow into this position in their first several years as CDO. This situation can be significantly challenging for them, depending on the institutional context and the nature of issues that arise during the CDO's leadership time on campus. We generally recommend executive coaches for faculty-sourced officers in this position to help them become more seasoned in the complex job role of Chief Diversity Officer.

By comparison, professional CDOs following a strategic diversity leadership trajectory will know the job and have a clear game plan for how to perform their role generally. At the same time, they will not have the same understanding of the institutional culture, nor know how to navigate their specific leadership and DEI strategic contexts. For these officers, the challenge is not knowing how to be a CDO—it is learning how to navigate campus politics and the relational nature of hierarchical, hyper-decentralized institutional environments. We also generally recommend executive coaches for officers in this position as well, but the focus of that coaching may be different for the professional CDO leader who has been doing this job or has been managing a career path towards this job specifically. Most often, the goal is to support them in better navigating and leading within their institutional context.

Exhibit 1.7. CDO divisional overview by title, supervisor, tenure, years in role, type of hire and career pathway, select institutions

Institution	Formal Rank and Title	Supervisor	CDO Tenured	Time in Role	Internal Hire	Primary Career Path
UC Berkeley	Vice Chancellor for Equity and Inclusion, Chief Diversity Officer	Chancellor	Yes	3 years	Yes	STEM faculty DEI leader
UC San Diego	Vice Chancellor for Equity and Inclusion, Chief Diversity Officer	Chancellor	No	5 years	No	Career CDO, strategic diversity leadership
University of Michigan	Vice Provost for Diversity, Equity and Inclusion, Chief Diversity Officer	Executive Vice President and Provost with dotted line to President	Yes	5 years	Yes	Social science faculty DEI-focused Department chair
University of Minnesota	Vice President for Equity and Diversity, Chief Diversity Officer	President	Yes	2 years	Yes	Social science faculty DEI-focused, DEI administrator
University of Texas Austin	Vice President for Diversity and Community Engagement, Chief Diversity Officer	President	Yes	2 years	Yes	Social science faculty DEI-focused
University of Virginia	Vice President for Diversity, Equity and Inclusion, Chief Diversity Officer	President	No	1 year	No	Career CDO, strategic diversity leadership
University of Washington	Vice President for Minority Affairs and Diversity, University Diversity Officer	President	No	4 years	No	Career CDO, strategic diversity leadership
University of Wisconsin–Madison	Deputy Vice Chancellor for Diversity and Inclusion and Elzie Higginbottom Vice Provost, Chief Diversity Officer	Provost with dotted line to Chancellor	Yes	7 years	Yes	Humanities faculty DEI focused

CDO Divisional Structure Analysis

UC Berkeley has one of the three largest CDO divisions in the country, whether measured by the number of units, full-time employees or total budget oversight (Exhibits 1.8, 1.9), keeping company with UT Austin and the University of Washington. The size of these units brings a tremendous amount of financial, leadership and operational complexity. UT Austin and the University of Washington were most impressive due to the magnitude of resources assembled in these units.

UT Austin in particular has long been viewed as the nation's strongest vertically integrated CDO division, with a strategic attention locus that engages DEI issues both on campus and in the broader community. With 15 senior leaders guiding a division of more than 400 FTEs, many lessons are here to be learned about the type of infrastructure that is required to lead such a vertically integrated and complex unit. The University of Washington seemed similarly strong.

It is important to note that UT Austin and the University of Michigan have recently gone through some strategic tightening of their vertical portfolios in the last few years. In both instances, units were moved out of the CDO's vertical portfolio and into other administrative units across campus. The decision to move some units and leave others is always met with concern, fear and trepidation by many. While knowing exactly which units to move is difficult to determine at this time, it is our belief that a few could be better situated and that these moves should be made at a single time with transparency, clarity and a full strategic plan to guide the effort.

As we reviewed UCB's structure within this national context, several insights emerged in terms of the unit design, budget mix and span of control.

Unit Design Lessons for UC Berkeley

- The majority of CDO divisions called out their DEI strategic plan as their priority, a point that does make sense. Nevertheless, vertically integrated divisions need their own unit-based strategic or operational plan to bring the division together and create a shared sense of purpose, above and beyond the campus's DEI plan. No divisional or campus-wide plan exists for UCB
- UT Austin offered a clear set of strategic priorities for their divisional units, focusing them on creativity and innovation, entrepreneurship and more (Exhibit 1.8). These priorities shape major initiatives and efforts taking place within specific units inside of the division. Given the vertical nature of the UCB E&I division, developing a similar set of shared priorities could be key to developing a stronger divisional identity.
- The UCB E&I unit's new fundraising model is similar to the direction that UT Austin, U of Michigan and others have in place. At the same time, our review suggests that UCB has one of the most impressive and consistent divisional fundraising efforts in the country. UCB is clearly a leader in this dimension of comparison.
- The UCB E&I division features one of the most diverse selection of units in the country, spanning undergraduate-, graduate-, faculty- and staff-focused units, with more than 170 staff members in total.
- UCB's categories of campus climate and student equity and inclusion units seems large with 22 and 24 units, respectively, in these areas.
- No other division in our national scan was organized as vertically as UCB, despite UT Austin and the University of Washington being as large or larger than the UCB E&I division overall.

Span of Control Lessons for UC Berkeley

Our review suggests that UCB has the leanest administrative and operational leadership team in the country, when looked at in terms of the complexity and breadth of the E&I operation. For example:

- UCB has only four senior leaders responsible for an E&I division of roughly 50 units and some 170 FTEs.
- The UCB ratio of senior leaders to FTEs is roughly 43 staff members for every one senior leader within the division. This ratio is outsized compared to the ratios of the other two top-three divisions in our analysis, UT Austin (29:1) and University of Washington (26:1).
- UCB senior leaders are also responsible for nearly \$9 million each, while the next highest number is \$6 million to one person at the University of Washington.

Given these factors, our review suggests that UCB should consider increasing the size of its senior leadership team and operational team, and, at the same time, looking for ways to strategically sharpen its vertical portfolio. Additional issues include:

- That the Chief of Staff role is loaded with supervising the Campus Climate subdivision of the E&I unit is an operational and strategic challenge. The Chief of Staff role must remain nimble, with few direct reporting relationships, to be effective.
- We think it important to consider whether the division needs a Deputy CDO role, much like the role that exists at the University of Michigan. The Deputy CDO role is not the same as the Chief of Staff position, a point we return to in Section 4 of this report. That U of M role leads a strategic DEI implementation team, focusing on campus-wide leadership and strategic DEI impact. We return to this idea in the recommendation sections of this report.
- That the Assistant VC for Pre-College Programs also serves as the divisional budget officer is problematic. As we have made clear here, the E&I division needs a senior administrative budget officer to provide supervising leadership for the financial and business operations of the division.
- Maintaining an extremely lean senior leadership team at UCB no doubt takes a toll on the vertical leadership of the division, as well as on the ability for the senior leadership team to lead campus-wide, both in response to DEI crises and in terms of providing that campus-wide leadership.

As we discuss in the next section of this review, which summarizes perceptions of the UCB unit, having a high-profile, vertically integrated CDO division is a point of perceived strength by many. At the same time, the overall verticality and complexity of the UCB CDO division suggest that the portfolio of direct reporting units should be reduced at the same time that more leadership capacity should be added to the division.

Exhibit 1.8. CDO divisional overview, priorities unit mix, formal deputy CDO, leadership and reporting units, by select institutions

Institution	Division Overview	Specific Division Priorities	Unit Mix	Formal Deputy CDO	Division Senior Leadership ¹	Reporting Units
UC Berkeley	<ul style="list-style-type: none"> • Business Units (n=2) • Student Equity and Inclusion Units (n=24) • Campus Climate Units (n=22) • Other (n=2) 	<ul style="list-style-type: none"> • DEI Strategic Plan 	√	No	4	50
UC San Diego	<ul style="list-style-type: none"> • Strategic Diversity Leadership Units (n=1) • Campus Cultural Centers (n=5) 	<ul style="list-style-type: none"> • Campus-wide collaboration, responsibility and accountability • Sustain a faculty culture of inclusive excellence • Eliminate intergroup disparities in student enrollment and success • Partner to improve campus climate 	√√	No	6	10

¹ The senior team = CDO + Leaders with the title Vice President/Provost/Chancellor, Assistant VP/VC, Associate VP/VC, Executive Director, Special Assistant/Advisor, and Chief of Staff that provide vertical leadership to the division.

Institution	Division Overview	Specific Division Priorities	Unit Mix	Formal Deputy CDO	Division Senior Leadership¹	Reporting Units
University of Michigan	<ul style="list-style-type: none"> • Strategic Diversity Leadership Units (n=2) • Business Support Units (n=1) • Pre-College Unit (n=1) • Student Diversity Leadership Unit (n=1) 	<ul style="list-style-type: none"> • DEI Strategic Plan 	√√	Yes	5	6
University of Minnesota	<ul style="list-style-type: none"> • Conflict Resolution (n=1) • Campus Culture Centers (n=4) • EEO/Affirmative Action (n=1) • Business & Economic Development (n=1) 	<ul style="list-style-type: none"> • DEI Strategic Plan 	√√	No	5	7
University of Texas Austin	<ul style="list-style-type: none"> • Community Engagement Units (n=9) • Pre-College Units (n=7) • Undergraduate Diversity Leadership Units (n=9) • Campus Climate, Community, Culture (n=8) • Business Unit (n=1) 	<ul style="list-style-type: none"> • Academic Creativity and Design • Inclusive Innovation and Entrepreneurship • Community-Integrated Health Initiatives • Global Leadership and Social Impact • Community Engagement and Economic Development • University Culture 	TBD	No	15	34
University of Virginia	<ul style="list-style-type: none"> • Strategic Diversity Leadership Units (n=2) • Community Engagement (n=1) • Undergraduate STEM (n=1) • EEO/Affirmative Action (n=1) 	<ul style="list-style-type: none"> • DEI Strategic Plan 	√	No	2	4
University of Washington	<ul style="list-style-type: none"> • College Access (n=8) • Diverse Student Success (n=16) • Administrative Units (n=6) 	<ul style="list-style-type: none"> • DEI Strategic Plan 	√	No	5	33
University of Wisconsin Madison	<ul style="list-style-type: none"> • Pre-College Programs (n=1) • Undergraduate Student Diversity Units (n=6) • AA/EEO (n=1) • Intergroup Dialogue Training (n=1) 	<ul style="list-style-type: none"> • DEI Strategic Plan 	√√	No	5	9

Budget Mix and Discretionary Resource Lessons for UC Berkeley

While we cannot report the precise budget levels and mix for each institutional CDO division², we do comment to the restricted nature of the budget in Exhibit 1.9.

- While UCB has one of the top three largest budgets in the country, the budget is also the least flexible, since the CDO has little ability to reallocate resources to new priorities. This factor led to our giving it one check, meaning it's an area of opportunity for the division, given that the budget is mostly restricted in how it can be used.
- While each of the institutions in our review featured a mix of restricted and unrestricted funds across a number of institutional, grants, gifts and extramural resources, no leader was as limited in what they can do as the Vice Chancellor at UCB.
- In a related fashion, the UCB Vice Chancellor is one of three leaders in this review who controls an annual discretionary budget of less than \$100,000.
- The CDOs' leading portfolios, comparable in size to the E&I UCB CDO portfolio, all had discretionary capability of over \$750,000 annually, used to build campus-wide partnerships, fund DEI innovation grants and build momentum to spark the campus's DEI change efforts.

Exhibit 1.9. Benchmarking thematic analysis by select institutions and CDO divisional categories

Institution	Division Senior Leadership ³	All Divisional FTEs	FTEs per Senior Leadership	Units per Senior Leadership	\$Millions per Senior Leadership	Budget is largely unrestricted & fungible	Discretionary Budget
UC Berkeley	4	170	42.5	12	\$9	√	√
UC San Diego	6	41	7	2	\$1	√√	√
University of Michigan	5	75	15	1	\$3	√√√	√√√
University of Minnesota	NA	NA	NA	NA	NA	NA	NA
University of Texas Austin	15	440	29	2	\$3	√√√	√√√
University of Virginia	2	19	9	2	\$2.5	√	√
University of Washington	5	130	26	7	\$6	√√	√√√
University of Wisconsin–Madison	5	86	17	2	\$2	√√√	√√

Key: √ = Opportunity for Growth, √√ = Professional Standard, √√√ = Towering Strength

² As a condition of study participation, interviewees in this study were promised that we would not release the precise budget information for officers. Instead, we released the information in a coarser manner to maintain the standard that we agreed to with each institution.

³ The senior team = CDO + Leaders with the title Vice President/Provost/Chancellor, Assistant VP/VC, Associate VP/VC, Executive Director, Special Assistant/Advisor, and Chief of Staff that provide vertical leadership to the division.

Summary

Demographics. UC Berkeley is one of a handful of institutions that reported a relative drop in the percentage of URM tenure-track faculty and women tenure-track faculty, while it saw healthy growth in URM undergraduate and graduate students. At a future point, implementing a faculty turnover study would provide a clearer look at the mechanics of this situation. Meanwhile, UCB continues to lead with its HSI designation and African American Initiative.

Strategic Diversity Leadership Capabilities. A key to growth in DEI is the structure of the role of the CDO and how well it is implemented. UCB's divisional infrastructure has long been well admired nationally. Its leader is elevated to an ideal position reporting directly to the chancellor, who can be seen as a direct aid to the DEI mission. As a CDO who is promoted from an academic position (not a career CDO), UCB's VCEI is working to fully embrace the standard task of learning the ropes in terms of both how to structure and run a large vertical DEI organization and how to shift from a concrete teaching/research position to a role of visible leadership where key tasks include setting an inspiring vision and connecting people.

UCB has a few weak areas in comparison with its peers, yet they are ones that can be improved. While UCB has made DEI a key component of their outward-facing commitment, dedicated planning efforts that uphold that commitment across campus, however, have been and continue to be largely absent. Additionally, because UCB's division is vertically integrated, it needs its own internal, divisional strategic plan to create a shared sense of purpose, place and vision. At this point, its leadership is stretched extremely thin and, in addition to needing more staff, a few positions need to be fine-tuned in their scope in order to reduce friction and overlap.

Overall, we found UCB's E&I division to be extremely promising in its depth of expertise and its diverse assembled team. Going forward it simply needs additional clarity of vision, planning and some internal sharpening to hone its edge so that it can do its excellent work even more effectively.

SECTION 2: PERCEPTIONS OF THE UCB EQUITY AND INCLUSION DIVISION

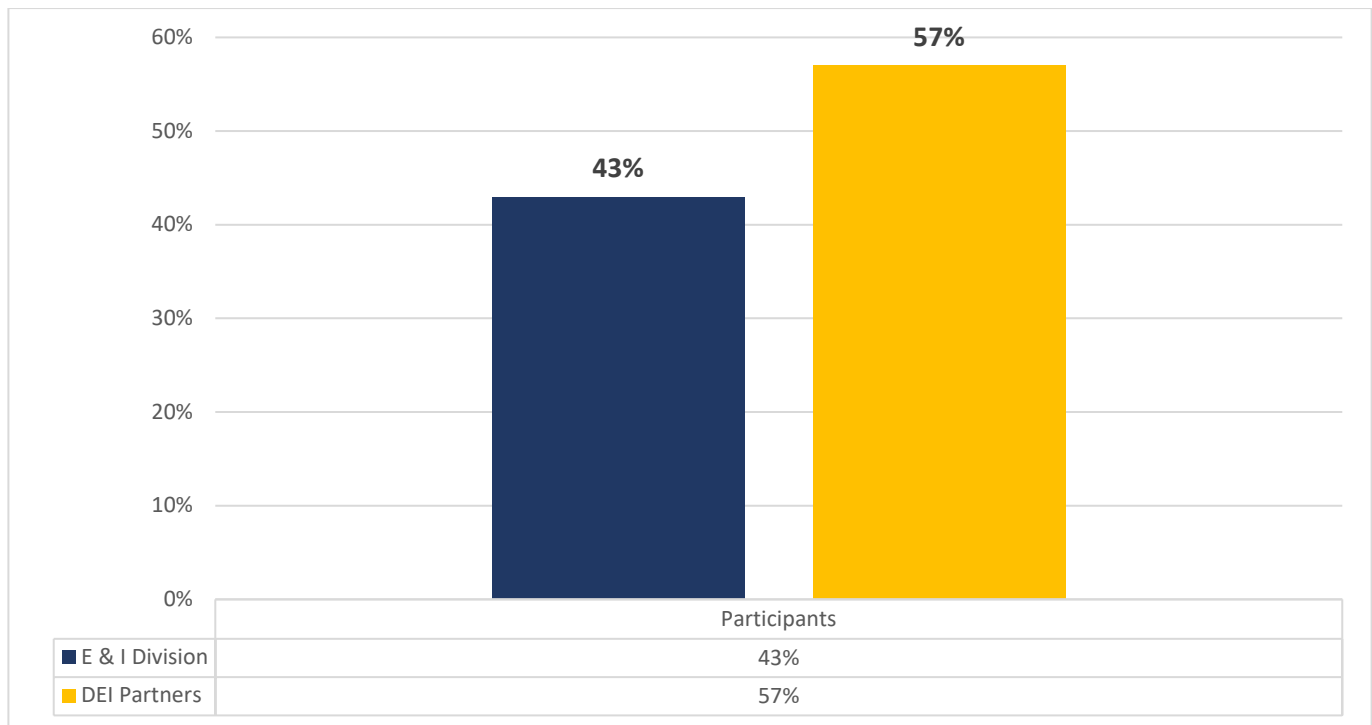
This section reflects the insights and recommendations of E&I divisional employees and DEI partners both on and off the UC Berkeley campus (Exhibit 2.1).ⁱ These two groups of study participants (n=118) engaged with the Center for Strategic Diversity Leadership and Social Innovation in listening sessions, individual interviews and open-ended surveys.

Thematic Impressions and Research Triangulation

For every guiding question of the study, up to three strategic insights were identified, allowing us to find multiple impressions within a single person's interview, listening protocol or comment. Our review resulted in more than 600 impressions that helped us to determine perceived strengths, concerns and opportunity areas within the E&I division and, more broadly, across campus.

Additionally, we encouraged participants to respond in ways that leveraged their backgrounds and experience, focusing on their relationship with the E&I division as well as the broader strategic diversity leadership efforts of the University.

Exhibit 2.1. UCB strategic review, location of study participants



As you read this discussion of strengths and concerns, we will begin to triangulate these insights against themes that emerged from our benchmarking analysis, outlined in Section 2. A few key themes thus triangulated fall into the areas of:

- (1) Culturally relevant strategic capacity as a strength.
- (2) Resource challenges as a limitation.
- (3) Misaligned spans of attention and control, as the E&I leadership team is stretched too thin, to handle all of the vertical and campus wide complexities of leading DEI issues.

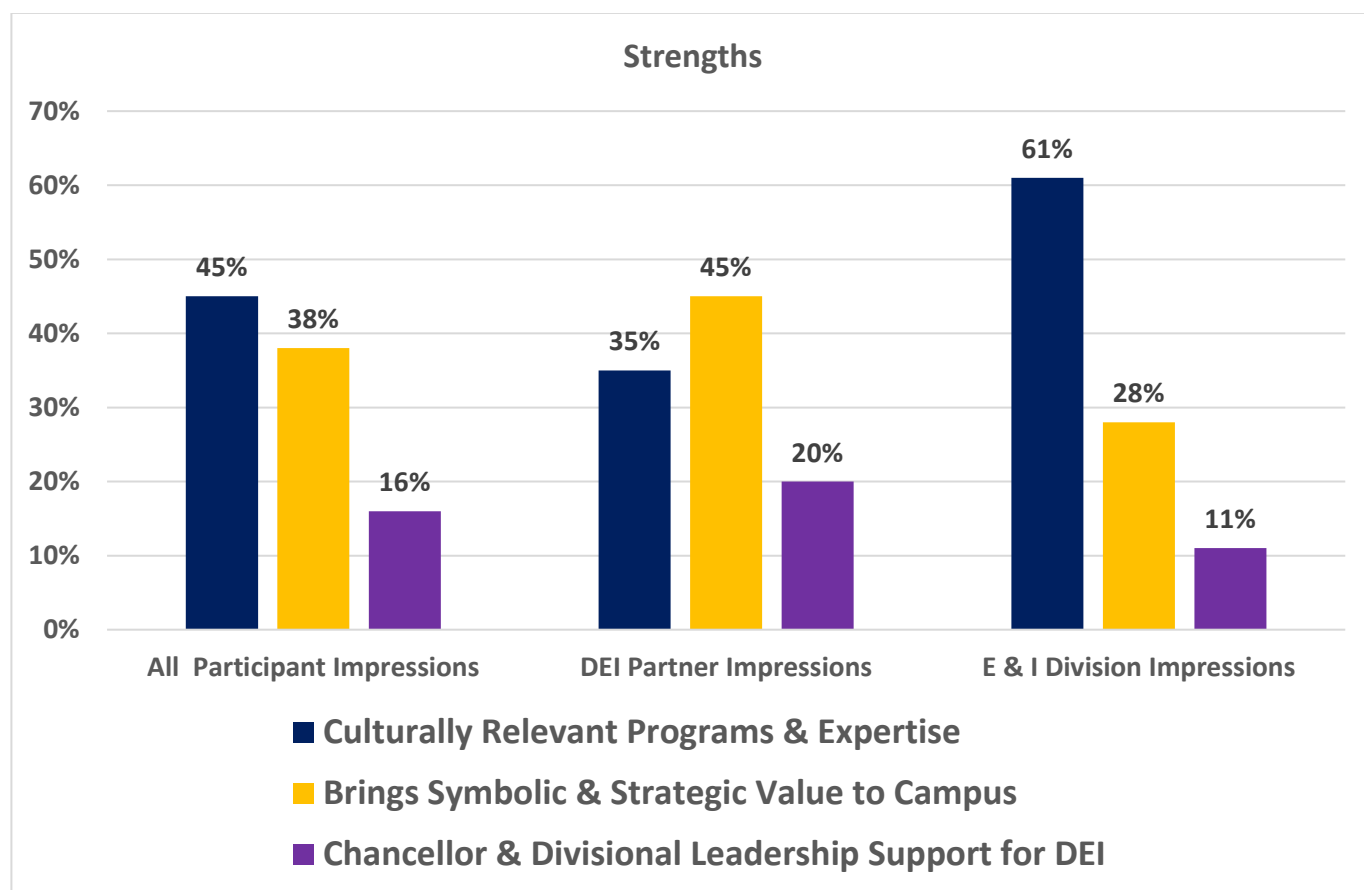
E&I Divisional Strengths at UC Berkeley

Individuals who participated in this review produced 139 thematic impressions that coalesced around three areas of strength in the UC Berkeley Equity and Inclusion division and in the campus's DEI commitments generally (Exhibit 2.2).

These strengths are that:

- The division has a high level of culturally relevant expertise that allows them to drive high-impact DEI programs and provide subject matter expertise to the campus community and beyond (reported by 45% of all respondents).
- The division adds value through a pre-college program, fundraising for DEI and efforts to improve demographic diversity as well as the campus climate, while sending symbolic and material messages that DEI is a top priority at UCB.
- Leaders of the division and the chancellor herself strongly support DEI as a priority.

Exhibit 2.2. UC Berkeley E&I: perceptions of strength



Cultural Programming and Expertise Is a Towering Strength at UCB

Diversity offices and cultural centers often exist within administrative and academic structures, where leadership typically neither appreciates nor understands how to harness the unique gifts that these units bring. The diversity of their staff, uniqueness of their missions, social justice DNA of their community and their at times nontraditional approaches to student development and community building can be

confounding to say the least. And while some of these same dynamics have created challenges for UCB leadership both within and outside of the E&I division, it cannot be denied that the diversity and cultural expertise of the division is a towering strength that many praised throughout our strategic review.

Participants in both listening sessions and interviews discussed the cultural expertise of students, faculty and staff as a major strength that defines the Division of Equity and Inclusion, with 45% of all thematic strengths falling into this area. Not surprisingly, a clear majority of E&I division participants (61%) felt this way. While latter parts of this review clearly point to areas of improvement for the division, the cultural DNA and expertise of the division represents a strong foundation to build upon and optimize. In a world where many institutions are struggling to build a capacity that truly understands the cultural, economic, policy and identity needs of diverse students, faculty and staff, this capacity represents a towering strength that the Division of E&I offers to the UCB community and beyond.

Many participants within the division, in particular, did not offer this perspective without some caveats, however. Namely, they spoke to how E&I faculty, staff and students are often taken for granted, invited to the table only where their expertise and/or identity helps to solve a problem or contribute to a narrative of inclusion that is far from the day-to-day reality of many diverse communities on campus. They spoke of not being included in the general leadership and decision-making of the university, as well as of the invisible burden that many of them carry by being the only one who speaks up on DEI issues and the only one mentoring diverse communities, diversifying committees and laboring without financial or even symbolic rewards for their efforts to carry DEI issues on campus.

Nationally Acclaimed Models within the Division

Participants especially highlighted the work of the nationally recognized Othering and Belonging Institute, as well as more student-centered units focused on basic needs and undocumented students. These three units were specifically called out as national leaders and towering strengths in the UCB E&I infrastructure, a point that we echo, based upon our review of several peer institutions.

No peer CDO division that we reviewed featured any units that directly compared to the scholarly eminence of the Othering and Belonging Institute, as well as the focus on nationality/identity/policy complexities and basic needs of the other two units. It is worth noting that the University of Michigan recently moved the National Center for Institutional Diversity (NCID) out of their CDO division and into the College of Letters and Sciences. This move was criticized by some as eroding the academic diversity focus of the division, while others lauded it as creating a more traditional home for faculty engaged in DEI-related research.

The HAAS Institute for a Fair and Inclusive Society and its latest iteration, the Othering and Belonging Institute, were created as part of the initial vision of the division's founding and the plan for the campus community. The Institute's ability to play a critical role in helping to diversify faculty, amplify multicultural and international scholarly engagement, and transform the classroom experience is an important part of the E&I division's DNA and outreach. The question now becomes: how do you amplify the work of this unit as part of the strategic vision of the division and, more broadly, the campus community? How can you build out its capabilities in such a way that the Othering and Belonging Institute is even more central to driving value across campus?

As UCB considers the future portfolio of the Division of Equity & Inclusion, this idea of traditional and emergent ways of designing it will be important to consider. We do not believe there is any one best practice for designing a vertical infrastructure, only design decisions that are made, one way or another, to advance your big-picture strategic agenda. The presence of these national beacon units represent tremendous strength within the division, as does the work taking place across Student Access and Equity, Campus Climate and Pre-College Programs.

VCEI Brings Symbolic and Strategic Value to the Campus

Many survey participants felt that the presence of an E&I division at the vice chancellor level provides strategic and symbolic value to the campus at large. They argued that having a VC-level CDO role legitimates diversity at a high level and ensures that there is a culturally savvy DEI team at the senior-most table of decision-making.

During these increasingly politically and culturally turbulent times, many institutions are creating their first CDO position, while Berkeley is in many ways a pioneer, having developed a successful role and division more than a decade ago. Numerous participants in our discovery work glowed with pride as they talked of UCB's national leadership in the chief diversity officer movement, recalling how many had viewed the vertical design and units of the E&I division as aspirational while they were working on their units.

Beyond the symbolic value that the unit provides in elevating DEI issues on campus, leaders were clear about the material value that the unit also offers by creating a pre-college pipeline into the university, establishing spaces of belonging and community for diverse students, transforming the learning environment for those with disability and raising funds for critical DEI issues like basic needs and the challenges of the undocumented, to name just a few.

The Chancellor and VCEI Leadership Support for DEI

The UCB Division of Equity and Inclusion has several material strengths to build from, none more substantive than the leadership commitment of the chancellor and the VCEI senior leadership team. While not as strongly represented in the data as the other two highlighted categories, leadership commitment was noted by some survey participants to the degree that it became important to mention it in this asset-based description of UCB's readiness for acceleration in DEI.

A number of leaders, particularly among DEI campus partners, spoke to the strength of DEI leadership shown by the chancellor in recent years. Her inclusion of DEI work as a top priority within her strategic framework, her willingness to be strong on DEI issues in the face of controversy and her tackling the HSI opportunity and African American Initiative challenge were all highlighted. At the same time, some tinged their comments of support with a desire for her to be even more demonstrative in supporting the E&I division with new resources and creating a broader plan to align the campus community with a new DEI activation plan, a point that we will highlight as we move into a discussion of challenges and concerns that exist on campus.

While participants challenged Berkeley's E&I leadership to go to a higher level of strategic and operational impact, they universally acknowledged that the vice chancellor and his leadership team are hard-working, passionate and fiercely committed to advancing DEI issues at UCB. They talked of the leadership's unflagging energy when navigating DEI crisis situations, their willingness to "speak truth to power" in tense moments and their commitment to pushing for a better and more inclusive UCB community—all strengths to be leveraged for sure.

Reflective Comments: Strengths

Appendix D includes a selection of quotes reflective of the many positive comments we gathered. Here are just two examples:

- "The strength of the division is in their programs. Everyone in E&I is deeply committed to serving students, staff or faculty. But there are definitely some programs that are leading the way nationally in terms of the services they provide and the conversations they guide. Two strong examples that come to mind are the Basic Needs Initiatives and Undocumented Student Program. These programs have dynamic directors at the helm that have turned their programs into powerhouses."

- “E&I has become a sort of ‘go-to’ for diverse student support services. This is a strength. Programs working together for a similar cause and voice on campus have created a certain solidarity among some units.”

E&I Divisional Concerns

Individuals that participated in this review process provided 200 thematic impressions that coalesced around four related areas of concern about the UC Berkeley Equity and Inclusion Division (Exhibit 2.3).

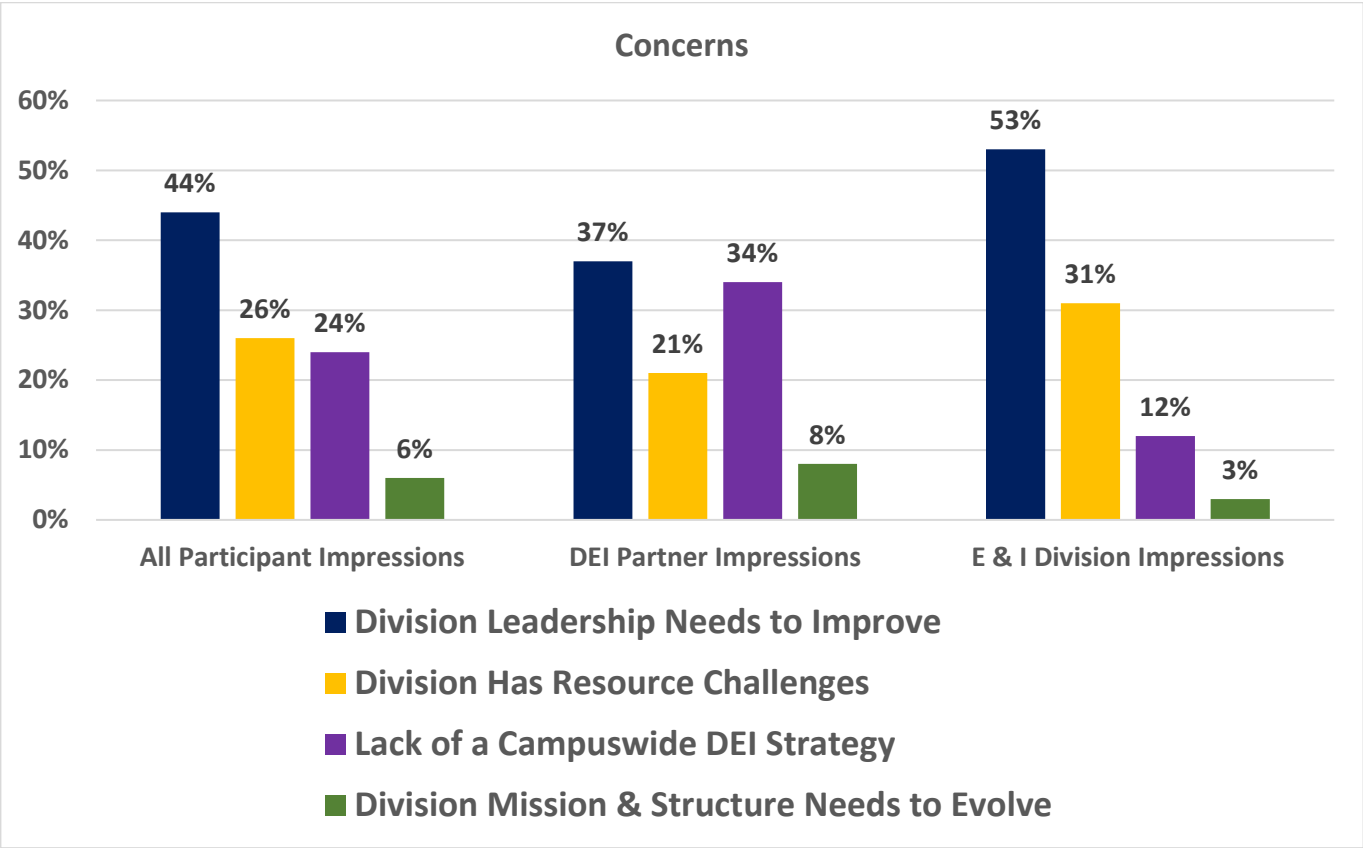
These concerns center around four main themes:

- The division’s leadership needs to improve strategically and operationally.
- The division has financial and human resource challenges that must be resolved.
- The lack of a campus-wide DEI strategy hinders shared responsibility and long-range impact.
- The division’s mission and structure need to evolve.

Divisional Resource Challenges

We begin with a discussion of financial and human resource challenges (26% of all participant impressions) because these dynamics represent a complicating variable that should be highlighted as part of the story of leadership’s perceived challenges.

Exhibit 2.3. UC Berkeley E&I: perceptions of concerns



While the UCB E&I division features one of the largest budgets and vertically integrated staffs in the country, our comparison with national peers concluded that UCB was not adequately staffed at the

leadership level to supervise the complexity of the division, nor cover the campus-wide terrain that is required to provide collaborative leadership either internally, or externally. As mentioned in Section 1 and as will be discussed in more detail in the next section, which focuses on the Chief Diversity Officer Development Framework (CDODF), the UCB E&I Divisional spans of attention and control are misaligned. Put simply, there are too many campus-wide and vertical issues for the CDO leadership team to handle all of this complexity well.

E&I Division Leadership Needs to Improve Strategically and Operationally

Leaders both within the division and campus-wide were critical of E&I divisional leadership, with an eye towards supporting success. The most frequently cited divisional concern was related to strategic and operational challenges that hinder the division and the campus's long-term efforts (37% of DEI partner impressions and 53% of all E&I employee impressions).

Participants' critiques centered on a perceived lack of:

- Nimbleness navigating campus-wide strategic diversity leadership issues, while managing the day-to-day priorities of a large, complex and turbulent division.
- Vision and plan for the E&I division in the face of a worsening culture and flagging morale at all levels of the organization.
- Operational leadership of a division that is characterized in one reflective comment as a "division in name only," since it could benefit from more regular meetings, retreats, celebrations and planned events or shared priorities to bring together the entire 170 FTE E&I division.
- Ability to move divisional units out of their silos and create impact that is beyond the sum of their parts.
- Communication prowess both internally or externally regarding DEI priorities, success and challenges, including with media, external partners, campus stakeholders and influencers in ways that show the strategic direction of the unit and the campus more broadly.
- Focus on staff, faculty and graduate student DEI priorities, since divisional leadership are too focused on undergraduate student DEI issues that have become all-consuming given of the lack of senior leadership staff within the division.
- Advocacy by the vice chancellor to the chancellor to elevate staff, space and financial challenges that many feel have ground the division down to their lowest point.
- Inspired leadership by the VCEI team in developing long-term creative solutions, rather than simply building short-term wins, and in managing crisis dynamics.

Division Mission and Structure Need to Evolve

A relatively small number of the strategic impression focused on mission and structure (6% of all strategic impressions). Nevertheless, our review found that mission and structure are key change dimensions that leadership should consider in defining how you will work to strengthen the VCEI moving forward.

More specifically, the mission of the VCEI role as the campus's CDO is not currently aligned with the structure of the E&I division. This mismatch has led to several pressing challenges that are highlighted here:

- *The VCEI portfolio has grown too large and unwieldy.* This situation may necessitate moving some areas into other central campus administrative portfolios, combining some very small offices into bigger units, sunsetting a few current roles and reframing the FTEs to serve a different purpose. We see several questions that should be resolved yet rest outside the scope of what this review can specifically prescribe. These questions are:
 1. Should the unit lead on student, faculty and staff DEI efforts, or just student efforts; and how?
 2. How much direct student service work should the E&I division provide, versus moving some units into the student affairs portfolio and having dotted line-matrices for other efforts?
 3. How should the E&I division be involved in Sexual Relational Violence and Harassment (SRVH) work?
 4. What should happen with current FTEs within the division who are open and may be used for a new or reframed purpose (e.g., Director of Staff Diversity)?
 5. How can E&I develop more strategic partnership efforts such as with the work taking place around program review and training equity officers?
- *Through the years, the VCEI role seems to have experienced mission creep.* Undergraduate and DEI crisis management are overwhelming the senior leadership team and consuming the majority of the unit's bandwidth. If the VCEI unit is to serve as the campus's CDO, then the unit should be aligned to lead on staff, faculty and graduate student issues.
- *Leadership must be embodied.* While commonly used to describe anyone doing full-time DEI work, regardless of rank and portfolio, the evidence-based "chief diversity officer" nomenclature is prescriptive of a specific type of leadership role (Williams & Wade-Golden, 2013). This designation should describe someone who is leading DEI-themed change in an integrative way, enterprise-wide for students, faculty and staff—while broadly partnering with the campus community in a strategic manner. This leadership is not happening at UCB at the level that it should.
- *Campus-wide DEI structures are evolving across campus at different rates,* given UCB's high level of decentralization. In this environment, the campus-wide CDO role is assumed, rather than structurally designed, to be activated as a part of the decentralized diversity infrastructure of the university. For example, in the current structure, the VCEI: (1) Has no clear relationship to the diversity officers in the schools and colleges, (2) Should undertake campus-wide DEI convenings to engage the community, including a DEI strategic planning process; (3) Has no campus-wide DEI strategic activation team nor senior team members tasked with strategic implementation, (4) Lacks resources to drive partnerships, (5) Has no clear policy authority, etc.
- *The VCEI division needs to further strengthen and develop high-impact partnerships* with areas such as Faculty Welfare, Human Resources, the graduate school, Student Affairs and leadership within the schools and colleges. These tactics may involve, for instance, the chancellor authorizing matrix reporting structures to the VCEI, establishing formal staff roles that live locally in another administrative unit yet are part of the VCEI FTE budget and portfolio, establishing new coordinating DEI counsels to align DEI priorities, and even establishing a specific unit that does nothing but work on Strategic Diversity Initiatives and DEI activation as part of the VCEI portfolio. We recognize that many steps have been and are being taken in this direction, too, including this climate survey, shared financial aid staff, new graduate diversity structure, new staff diversity positions with memorandums of understanding between the division and diverse units, etc.

Lack of a Campus-Wide DEI Activation Plan

While the top concern of internal leaders within E&I was strengthening the day-to-day leadership and strategic vision of the VCEI, campus DEI partners were most concerned about strengthening the long-term vision and strategy for the institution as a whole. This point was particularly evident when we asked participants to provide recommendations and guidance for next steps (Exhibit 2.4). The lack of a campus-wide DEI Strategic Plan were identified as a major opportunity area that must be resolved.

The creation of the 2009 UCB DEI plan *Pathway to Excellence* guided UCB for more than a decade. It is time to create an updated plan that will no doubt feature a similar call to action that can be complemented by the more contemporary approaches to DEI coordination and activation that have emerged at the University of Michigan, UC San Diego, UW-Madison, UT Austin, and other leading benchmark schools.

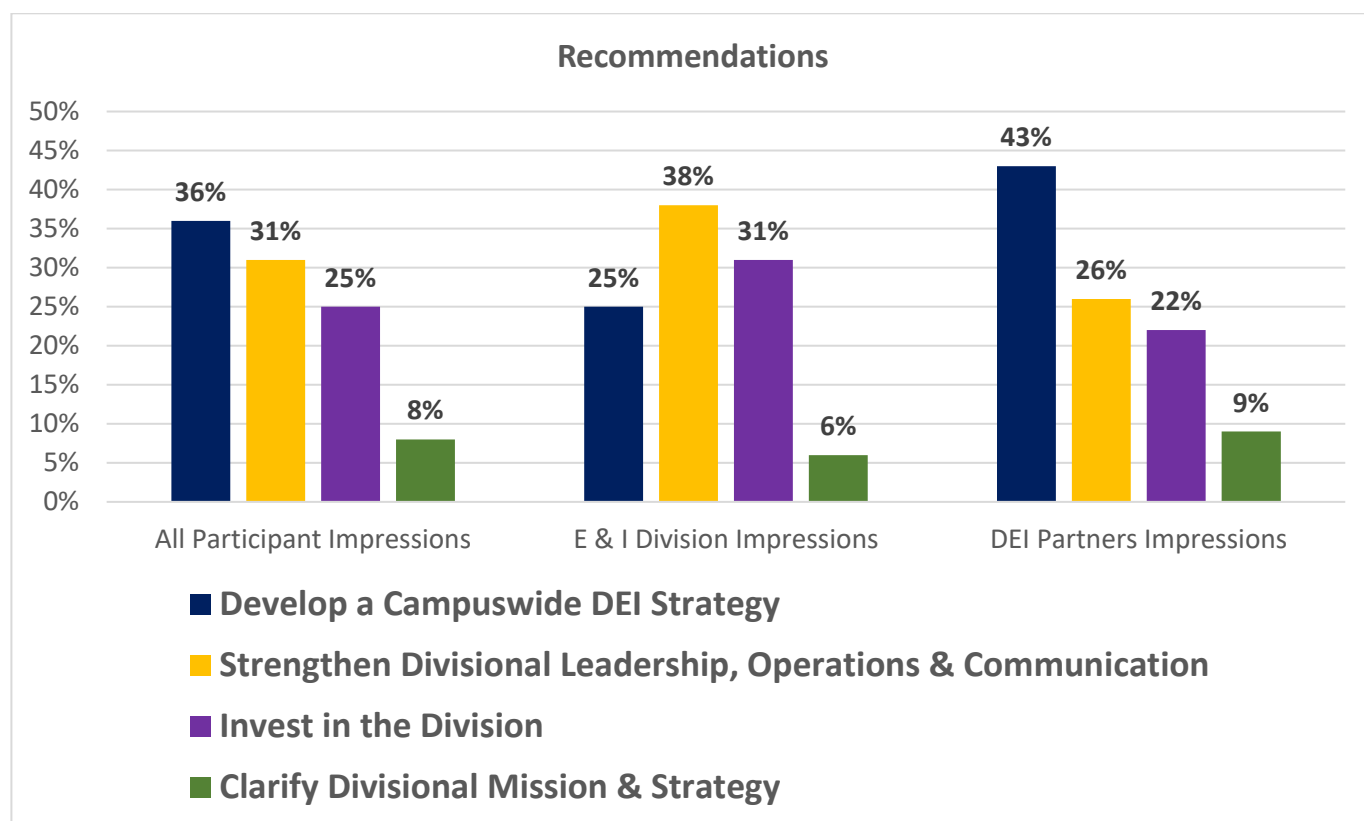
The VCEI Needs the Plan

The DEI campus-wide plan and framework is foundational to not only moving the institution forward but also to strengthening leadership for the Vice Chancellor for Equity and Inclusion. The VCEI needs this framework and plan as a platform to see the context of campus-wide collaboration, strategic planning, and shared investment in the work of DEI.

Absent a dedicated DEI plan, the campus rallying cry for DEI is lost inside of the competing narratives of the campus's strategic plan. As we noted earlier, our experience with DEI strategic planning and implementation has been that infusion often means a loss of focus, rigor, accountability and true investment in moving DEI forward as a priority in word and deed.

The presence of a strong campus-wide DEI activation framework, plan and approach will do wonders to move the campus, but it also strengthen the VCEI's ability to provide strategic leadership to the campus community.

Exhibit 2.4. UC Berkeley DEI recommendations



Reflective Comments: Concerns

Appendix D includes a selection of quotes that reflect participants' comments that expressed specific concerns. Here are two examples:

- “Student focus is strong, but staff/faculty efforts are lacking. The VEI team is running on bare-bones staff, which limits ability to perform to fullest. Funding limitations to pursue bigger projects.”
- “There does not seem to be a comprehensive strategic plan around equity and inclusion. Efforts are very ‘activity based’ versus ‘outcome; based. We measure success by how many meetings and committees we have. There is a general randomness and lack of coordinated effort. Lots of attention to ‘pieces’ of the work without a long-term strategic approach. We have no vision and have lost our analytic focus in the work.”

Lessons Learned for UC Berkeley Regarding Challenges

In any DEI survey, the insights and recommendations of divisional employees and DEI partners are quite valuable for the depth of experience and consideration incorporated in their observations and suggestions for improvement. Many of the comments we heard were spot-on in terms of noting the strengths and weaknesses shown in other analyses, and we recommend some time be spent reviewing them all.

Some summary insights that emerged in our interviews, as well as during our institutional benchmarking review, include:

- While space is a shared challenge campus-wide, dedicated space, and opportunity to reserve space for a free or a reduced fee, was mentioned as important to the division's ability to drive value and shift to a higher gear of inclusion on campus. Maintaining dedicated cultural spaces that are available for diverse students and programs is one of the most important resources that campuses can leverage to prioritize diversity and support greater levels of belonging and engagement.
- The lack of discretionary and fungible resources in the division creates a strategic disadvantage for the Vice Chancellor and his leadership team. One of the tools of high impact CDO's is a relatively high level of discretionary resources to build partnerships, seed innovative DEI initiatives, and shape the campus environment through a strategically planned series of forums, retreats, meetings, speakers, reviews, conferences, and other convenings.
- The ability to partner around capital with students, faculty, staff and units is key to being viewed as effective and helpful by campus colleagues. While content knowledge is important to thought partnership, high-impact CDOs have a number of resources at their disposal, not just DEI expertise.
- The CDO does not have sufficient financial resources to drive partnership and even support professional development within the division, a reality that has become successively worse since the unit's founding and resources from the original Haas gift have been exhausted or diverted to other priorities.
- The broader challenges of the UC System and, by association, UCB has created a cascading effect, in that the E&I division's human capital has been eroded administratively and operationally in substantive ways. From the division's beginning, the unit did not have a high level of administrative and operational slack to manage so many FTEs and such a complex mission. At the same time, leaders in E&I admirably took cuts to their administrative operations rather than pass those cuts on to direct serving student units that were already stretched too thin.

- It is excessive to ask the chief of staff to both supervise the campus climate subdivision of E&I and, at the same time, to provide broad-spanning leadership as the vice chancellor's point person on DEI issues campus-wide and strategically within the division. Is this role a line leadership one? An administrative staff role? Or a campus-wide deputy chief diversity officer role? We saw aspects of all three positions in our review. Clarification will amplify the very talented AVP/Chief of Staff, while supporting the broader needs of the division.
- Many of the campus climate units have an important mission and a social-justice-oriented DNA, yet dedicated leadership is required to navigate this cultural reality while aligning these essential units to the broader priorities of the division and the campus. This goal will be difficult to accomplish without strong and dynamic leadership at the assistant vice chancellor level stewarding these units.
- It is too much to ask the Assistant Vice Chancellor for Pre-College programs to also serve as the budget officer for the division simply because she is very capable and experienced. Pre-college programs is a strategic priority that is being compromised, and the financial management of the division is also being put at risk, because we are asking the same person to engage in too broad a set of responsibilities.
- Numerous leaders within the E&I division highlighted what they feel are systemic inequities between their job roles and those in other student-facing units on campus. They argued that the diverse student issues they address are more complex than any other unit's issues on campus, yet their compensation, staff, space and financial resources are not reflective of this responsibility. The emotional, physical, academic and social needs of the campus require more investment to support diverse student populations that are growing—and increasingly looking for support from within the E&I division because of their expertise and culturally relevant style of leadership.

Summary

On the positive side, UCB enjoys tremendous support for DEI from leaders within the division, in many places across campus, and from the chancellor herself. That support, as well as the inspiration to work hard for DEI, echoes all the way down to the most junior student employee in the division. And no wonder. The E&I division's world-class subject matter expertise in the Othering and Belonging Institute (and elsewhere), combined with its outstanding culturally relevant programming, such as the precollege pipeline program, are shining examples demonstrating to the world how focused Berkeley is on not only elevating DEI as important but living the message—and working hard to achieve it—every day.

The VCEI, then, plays an important role in carrying this message to the campus at large, as does the division's leadership. Additionally, to make such a large division run well, they all need to be accomplished leaders and constantly seeking constant personal development in their leadership qualities. How do you create a team that loves to come into work? How do you inspire innovation? How do you lead with a plan and guide your team in implementing it well? How do you make visionary connections in the world? These are the standard questions at this level of leadership that must be mastered.

The clouds in UCB's sky are directly related to how it is formalizing all this enthusiasm and dedication into a clear mission and implementable steps and structures such as a strategic plan and delineated job descriptions. Moreover, while financial resourcing for the division has many positives, it also is simply not enough at this time and must be addressed to give the division maneuvering room, drive professional development and teamwork within, and drive partnership without in order to grow.

After stagnating somewhat under leadership turnover for the last few years, it is time now for the E&I division at Berkeley to evolve—to choose a direction, to make a commitment and to set the sails with all hands on deck.

SECTION 3: THE CHIEF DIVERSITY OFFICER FRAMEWORK

A Formal Definition of the CDO Role

The CDO designation implies that the holder is the most senior person with a titular-structural designation around issues of diversity. The CDO designation is best used to signify a formal role of leadership that complements one's rank. Not a designation of convenience, it should formally express a leadership role consistent with guiding research in the area of diversity and inclusion, as it does at UCB.

The following evidence-based definition is offered as a foundation for this discussion:

- The CDO is a boundary-spanning senior administrative role that prioritizes diversity-themed organizational change as a shared priority at the highest levels of leadership and governance in administrative, student and academic affairs.
- Reporting to the chancellor/president, the CDO is an institution's highest-ranking diversity administrator. The CDO is an integrative role that coordinates, leads, enhances and in some instances directly supervises formal diversity capabilities of the institution in an effort to create an environment that is inclusive and excellent for all.
- Within this context, diversity is not merely a demographic goal, but a strategic priority fundamental to creating a dynamic educational and work environment that fulfills the teaching, learning, research and service mission of post-secondary institutions.

Conceptual Framework: The Chief Diversity Officer Development Framework (CDODF)

Without sound organizational design and staunch commitment from senior leaders, many diversity officers end up simply grafted onto an existing institutional structure like a redundant appendage. It then becomes highly debatable as to how much this appendage will genuinely make a difference in enhancing the institution's ability to accomplish its stated and implied diversity goals.

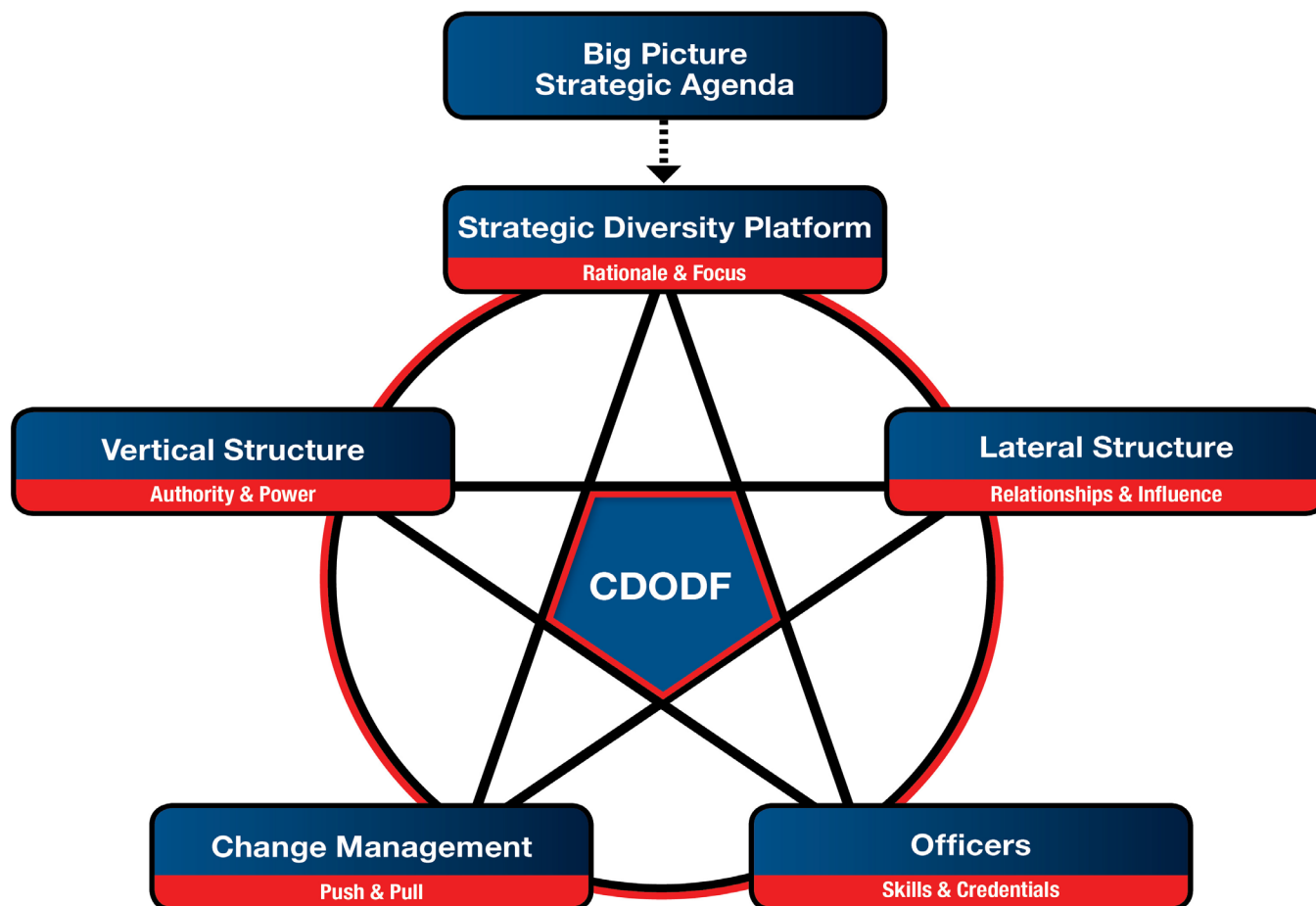
This review was powered by *The Chief Diversity Officer Development Framework*. This model was used to analyze research themes that emerged in our campus listening sessions and online open-ended data. As visualized in Exhibit 3.1, the framework operates from top to bottom. It argues that an institution's diversity and inclusion infrastructure should operate in a coordinated fashion, flowing directly from a core understanding of their big-picture strategic agenda. This agenda informs the focus of the Strategic Diversity Leadership Platform, at the top of the figure.

These areas of focus, in turn, delineate the vertical and lateral diversity infrastructure of the campus, the crucial outreach and communication links across the university. The platform also defines the change management techniques that are utilized to implement the strategy, as well as key officers' knowledge, skills and background required to serve as a senior diversity administrative leader.

Five Basic Elements of Chief Diversity Officer Design

The CDODF is guided by the big-picture strategic agenda of the institution and has been conceptualized to be consistent with the design principle stating that strategy should guide organizational design (Galbraith, 2002). That is, the design of the CDO role should flow from the institution's diversity definition and rationale, the diversity strategic plan, the overall strategic plan and the fiscal reality of the institution. The design that the CDO role must take is cued from this overall framework so that it can align with the vision, goals and organizational capacity of the institution.

Exhibit 3.1. Elements of the Chief Diversity Officer Development Framework and how they relate



Source: Williams and Wade-Golden (2013), *The Chief Diversity Officer: Strategy, Structure and Change Management*.

The CDODF is comprised of five basic elements that establish the position's span of attention (Exhibit 3.2):

- (1) Situated at the apex of the model is the *Strategic Diversity Platform* of the role. This platform establishes the strategic span of the position in terms of the mission, scope, and priority areas upon which the CDO will focus his or her efforts.
- (2) The second dimension, the *Vertical Diversity Structure*, determines the span of control in terms of reporting relationships, general structures ("archetypes" as referred to by Mintzberg (1979)), budgets and other aspects of the position's formal organizational authority and power.
- (3) The third area defines the CDO's span of influence, or *Lateral Diversity Infrastructure*, which defines the numerous ways that the CDO is an integrator of institutional diversity capabilities.
- (4) The fourth dimension describes the various *Change Management Systems* that define how a CDO drives, orchestrates, and encourages diversity efforts on campus.
- (5) Finally, the fifth category presents *Officer Skills, Knowledge, Background and Abilities*, which are critical to understanding the key characteristics that are required in order to perform the CDO role.

Exhibit 3.2. Five dimensions of the Chief Diversity Officer Development Framework

Dimension	Definition	Span	Key Elements	Central Questions
Strategic Diversity Platform	The strategic diversity platform defines the specific areas of the CDO's involvement, including primary, secondary, and tertiary priorities. The platform provides the conceptual framework that determines the parameters of the CDO's work. Depending how an organization wants to design its CDO capabilities, these include the organizational-conceptual level, diverse membership level, stakeholder membership level and the strategic-tactical level.	Strategic Span	Mission of the office Constituencies Strategic priorities Secondary priorities Tertiary priorities	<ul style="list-style-type: none"> • How is diversity defined institutionally? • What is the overarching mission of the CDO in terms of advancing the institutional definition of diversity? • What are the primary, secondary and tertiary diversity priorities that the CDO will pursue? • Will the CDO serve as the affirmative action officer for the institution? • Will the CDO serve as the Americans with Disability Act (ADA) coordinator for the institution? • Will the CDO center his or her efforts on faculty, staff, student or community-based concerns? • Will the CDO serve in a hybrid or dedicated diversity leadership role on campus?
Vertical Infrastructure	This dimension defines the formal authority, or span of control, of the CDO in terms of direct reporting relationships, archetypes of vertical structure, line authority, and budgets. Three primary archetypes of vertical structure exist: 1) the collaborative officer model; 2) the unit model; and 3) the portfolio divisional model.	Span of Control	Formal authority Reporting relationships Vertical archetypes Formal budgets	<ul style="list-style-type: none"> • What is the formal vertical authority of the CDO? • Who is the CDO's direct supervisor? • Is a matrix reporting relationship up, down and/or across the institutional environment necessary? • What is the CDO's level of rank? What is their formal title? • What is the primary archetype of vertical structure? • Which areas report to the CDO? • What is the budget authority of the CDO? • What is the role's formal ability to set institutional policy?

Dimension	Definition	Span	Key Elements	Central Questions
Lateral Infrastructure	The lateral diversity infrastructure represents those diversity capabilities that exist across campus that define the institution's ability to deliver its diversity goals. It also further defines the CDO role as focused on integration, coordination, amplification, synergies, and the sparking of diversity innovations.	Span of Support Span of Influence	Campus Leaders Diversity committees Diversity areas outside the CDO's span of control Diversity professionals across campus Diversity point people among non-diversity units Affinity groups Student organizations Other groups	<ul style="list-style-type: none"> What is the lateral diversity infrastructure of the institution? What coordinating diversity capabilities must be established to accomplish the goals of the strategic diversity platform? What coordinating structures must be put in place to complement the vertical structure? What types of lateral leadership skills are required for one to lead as a chief diversity officer? How will diversity efforts be coordinated and integrated across campus? What are the coordinating mechanisms that connect the white space that exists between the formal areas of the organizational chart? What key relationships must the CDO have to accomplish her or his work on campus? What affinity groups are in place and how do they interface with the CDO role?
Change Management Systems	This dimension focuses on the primary change management techniques employed by chief diversity officers to implement campus diversity efforts.	Strategic Span Span of Support Span of Influence	Educational strategies Entrepreneurial strategies Accountability Systems Communication strategies Political strategies	<ul style="list-style-type: none"> What tools does the CDO use to drive, influence, and encourage change? What is the role of senior leadership in supporting the CDO to ensure that he or she can accomplish his or her goals? What is the primary change management technique required to lead diversity planning and implementation in higher education? What are the key aspects of a campus diversity plan? What are the key principles and issues for understanding how to implement a campus diversity plan?
Officer Knowledge, Skills, and Abilities	This dimension refers to the different types of knowledge, skills, and abilities required to lead as a chief diversity officer.	Span of Control	Background Knowledge Skills Abilities	<ul style="list-style-type: none"> What knowledge, skills, and abilities are necessary to provide optimal strategic diversity leadership to the chief diversity officer role? Should the CDO have tenure? Should the CDO have a law degree? What are the most important characteristics of the chief diversity officer?

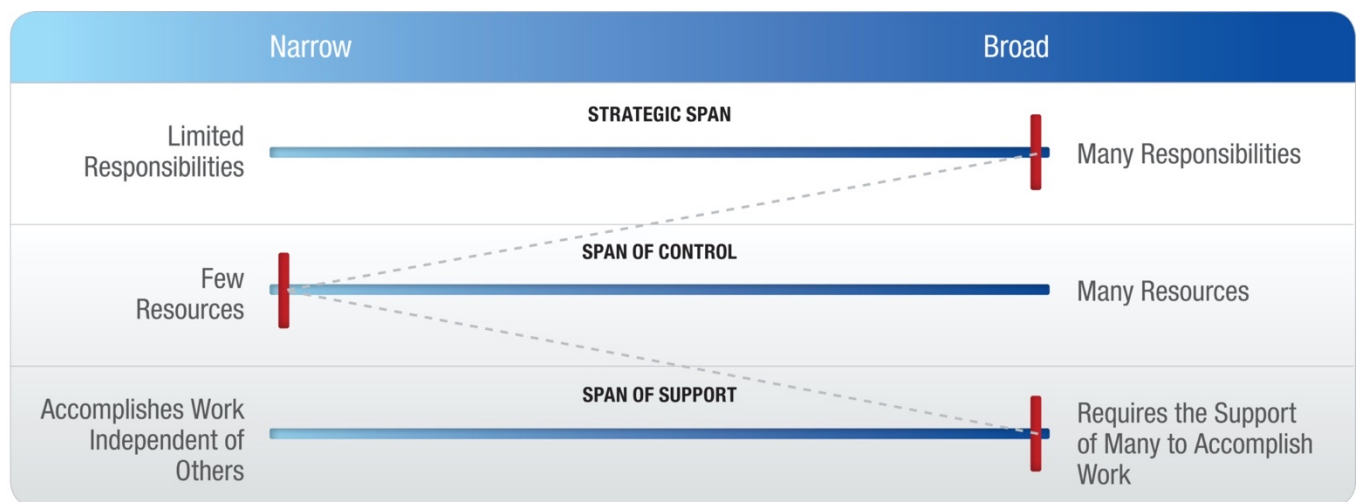
Source: Williams and Wade-Golden (2013), *The Chief Diversity Officer: Strategy, Structure, and Change Management*.

Misaligned Strategic Span of Attention and Control

One of the greatest challenges of CDO optimization is when a leader's strategic span, span of control and span of support are misaligned (Exhibit 3.3). That is, when they do not have enough resources to drive all of the various responsibilities that they may be facing, along with all of the relationships that must be aligned, to be effective. This situation is a classic one that we see among CDOs across the country today, because the role is so relational that it demands having a team that can help with managing campus-wide coordination, DEI crisis, and general institutional leadership, even in the face of leading a vertically integrated division.

It is common for us to interact with officers whose span of attention was characterized by a broad span of responsibilities (strategic span) requiring a number of individuals to support their efforts (span of support), while not having a sufficient human and financial resources (span of control) to move their work forward. This challenge emerged in our review of the UC Berkeley Division of Equity and Inclusion, where campus-wide and divisional demands often outreach the capacity of the current leadership team.

Exhibit 3.3. Misaligned strategic span of attention and control



Summary

An institution's diversity and inclusion infrastructure need to operate in a coordinated fashion, flowing from an understanding of its big-picture strategic agenda, supported by a well-oiled infrastructure, both vertical and lateral. The CDO role is typically a boundary-spanning and integrative one that coordinates, leads, enhances and, in the UC Berkeley context, directly supervises formal diversity capabilities to create an inclusive environment of excellence. The CDO is required to exude qualities of accomplished leadership in terms of managing their direct reports while at the same time creating dotted-line relationships with other units and leaders throughout the academy.

SECTION 4: RECOMMENDATIONS

Although we have delved into the challenges at UCB in some detail, in many ways the Division of Equity and Inclusion remains a national model that other institutions should look to aspirationally. The seniority of the VCEI role, its allocation of resources, a 10-plus year track record of success, and its national best-practice units and services is matched by only a few institutions across the country. Additionally, the state of California, the UC System and the UC Berkeley campus are home to significantly diverse populations and carry a profile along diversity dimensions that is unique compared to other states and institutions. For all these reasons, the campus requires a skillful chief diversity officer and effective division that both function in a way that is as cutting-edge as their history and context.

It is for these reasons that we do not recommend taking any radical actions like relocating all direct student service units, reallocating pre-college programs or even removing the Othering and Belonging Institute from the portfolio. We have seen other institutions radically restructure after successfully building a vertically integrated DEI unit much like Berkeley's, and then regret making those decisions because they lost hold of several factors: the potential to establish a stronger shared direction, the content expertise that comes from specialization, and the ability to optimize units that, candidly, many leaders in student, academic and administrative affairs have little historical, cultural or strategic expertise leading.

UCB has built the foundation of that infrastructure in its VCEI divisional model. Our greatest recommendation is that the division now develops a clear plan of action for the next 12-18 months to truly amplify all that has been developed to date, to get back on track strategically and operationally, both within the division and campus-wide.

We have also provided nine other recommendations to repair and strengthen issues that have arisen in the division (as issues do) that are acting like a parachute, braking any attempted acceleration. These ten recommendations were not chosen lightly. Combined, they create a strategic first round of crucial steps to elevate the division back into fulfilling its vision and mission at a national level.

Vice Chancellor for Equity and Inclusion: Embodying Vision plus Mission plus Values

Over the last decade, the division headed by the UCB Vice Chancellor for Equity and Inclusion has become a catalyst for change in the lives of many students, faculty, staff and community members. It has implemented this change by establishing vision, leadership, plans, infrastructures and partnerships that have resulted in many innovations and hold tremendous potential today. This foundation is where you must start your efforts today.

Vision and Mission. As the division looks to the future, it important to return to the foundational DNA of the unit because it remains just as powerful today as it was during the unit's founding in 2007. The Division of Equity and Inclusion was founded with the vision of becoming the national leader for equity and inclusion in higher education. It has maintained a mission *to provide leadership and accountability to resolve systemic inequities for all members of UC Berkeley through engaged research, teaching and public service, and by expanding pathways for access and success while promoting a healthy and engaging campus climate.*

That mission of leadership and accountability has in no way disappeared. It inspires people today. Our recommendations will set the E&I division once again on its way to executing on this mission more powerfully.

Core Values. Supporting the vision and mission, the core values of the division also stand as a backbone to its work. They are as follows:

- We believe education is transformative, empowering the UC Berkeley community to become engaged global citizens and leaders.
- We champion an equitable university that is inclusive and representative of our diverse communities.
- We act courageously and openly, with respect for the knowledge and experience of others.
- We implement our values together with committed staff, faculty and community members to nurture, develop and advocate for students.

These statements truly embody the values of a high-impact CDO team and division and are as important today as they were when the division was founded. Our recommendations have been crafted to also support the embodiment of these principles across campus.

The Goals: Strengthen, Sharpen, Lead

Campus-wide DEI institutional transformation is an ongoing process that involves rigor in planning, investment, connection-building, implementation and evolution over time. That said, the good news is that the strategic repositioning of the VCEI division to strengthen the pursuit of its core purpose is something that can happen relatively quickly.

Our review identified several culture-based, strategic, leadership, design and operational challenges that can be improved over the next 12-18 months in combination with some targeted investments, decisive leadership and adherence to a clarifying plan of action to significantly change the effectiveness and operations of the E&I division.

The three greatest challenges that emerged from our study stand as follows:

- (1) The Vice Chancellor of E&I and the division need more resources centrally to **strengthen** the muscles of the division and be successful.
- (2) The Vice Chancellor of E&I and his team need to **sharpen** the internal strategy, structure, collaboration and operational excellence of the division.
- (3) The Vice Chancellor of E&I and his team need to provide integrative **leadership** to the campus community on DEI strategy, policy and capacity building.

The vision, mission and core values of the Division of the VC for Equity and Inclusion, must become your strategic rallying cry, as you strengthen the foundations by adding staff in key leadership and operations roles, sharpen the edges of the division by repositioning staff and units, and develop new approaches to providing responsive and integrative leadership to the entire UCB campus community.

Ten Recommendations for the VCEI

The following ten steps are designed to support the VCEI in building capacity both within the division and campus-wide, categorized using our “strengthen, sharpen, lead” template:

Strengthen

- (1) Develop a comprehensive 12- to 18-month VCEI acceleration plan and timeline, to begin addressing the outstanding strategic, leadership, operations and communication challenges within

the division and campus-wide, aligning on this plan with the chancellor. Begin convening meetings of the entire E&I division so that you can stabilize the unit, build rapport among its constituents and establish a shared vision and identity moving forward. Start developing a strategic plan for your division that includes a vision and mission statement, operating principles, committees, and 2-3 new strategic initiatives that the entire unit will align to as a divisional community. This strategic plan should also include fundraising priorities.

- (2) Develop a request for targeted investment into the VCEI unit that will bring 2-3 more leaders in at the AVC level, in addition to new staff that focus on campus-wide strategic diversity leadership, and administrative and operational needs within the division.
- (3) Develop an updated DEI Strategic Framework for the UCB community to establish a new and reinvigorated approach for the schools, colleges, and divisional areas to operate within. Start developing a regular cadence of meetings across the entire university, using your convening power to bring together DEI leaders in every school and college, as well as other DEI Committees and infrastructures. Encourage inter-communication.
- (4) Develop a DEI campus-wide activation and coordination plan to ensure that the DEI framework is activated in word and deed, role modeling against the University of Michigan DEI – activation plan inspirationally.

Sharpen

- (5) Bring the E&I division unit portfolio into focus, by reorganizing the division into a new configuration that focuses on six strategic leadership areas led by an AVC: (1) Belonging & Community Building, (2) Pre-College Programs, (3) Strategic DEI Leadership & Capacity Building, (4) Student Equity & Success, (5) the Othering and Belonging Institute, and (6) the Chief of Staff operational team. Appoint or create a formal Deputy CDO role, to provide senior leadership, to cover more terrain campus-wide and lead the Strategic DEI Leadership & Capacity building team. Strengthen the Chief of Staff role as either a line leadership role, staff leadership role, or Deputy CDO role. Consider rebranding as the Division of Diversity, Equity, & Belonging.
- (6) Establish a new unit, the Office of Strategic DEI Leadership and Capacity Building, within the E&I division that focuses on campus-wide DEI leadership and capacity building. Consider re-allocating training, communication, research, and staff diversity into the unit. Consider reframing the staff diversity role at the AVC level, to create an efficiency, and develop a senior leadership role for the unit. Ideally, this unit would be led by the appointed or hired Deputy CDO.
- (7) Partner with the Othering & Belonging Institute to have a stronger divisional and campus-wide inclusion impact, in addition to their scholarly and national impact.

Lead

- (8) Convene a northern California CDO roundtable to coordinate a shared collective-impact DEI agenda for the region, leveraging UCB's unique academic, cultural, research and human capital pipeline not to mention the world-class, innovative corporate neighbors UCB enjoys. Find creative ways to develop the "Belonging" ideas as a foundation, partnering with the leadership of the Othering & Belonging Institute.
- (9) Develop a DEI Innovation Fund to drive impact and partnerships campus-wide, at a level of 250K plus annually. Use this partnership fund to drive VCEI strategic – campus-wide priorities.
- (10) Consider leading a UCB Equity and Inclusion Divisional team in the summer 2020 National Inclusive Excellence Leadership Academy (NIXLA) online institutional planning and transformation

program, to work on a divisional culture-building plan for the 2020-21 academic year and to strengthen strategic diversity leadership skills and abilities.

Exhibit 4.1 presents these recommendations across the dimensions of timeline, urgency, impact, cost, key action steps and complicating dynamics. While we believe each of the recommendations will create high impact, only three are urgent. They are the first three listed: the need to develop a 12- to 18-month plan to fix the divisional challenges and launch the campus conversation, the need to develop a clear financial request for financial and human resources to improve the E&I division, and the need to sharpen the lines of the division's vertical structure by honing job roles, refining the unit structure and moving a few targeted units out of the division.

Summary

In the last decade, the UCB E&I division has become a great catalyst for change in the lives of many students, faculty, staff and community members. It remains a national model that other institutions look to aspirationally, with a unique profile of diversity dimensions as well as national best practices, leading-edge scholarship, outstanding programming and even more potential.

It has implemented this change by establishing vision, leadership, plans, infrastructures and partnerships in the past, and it is to this foundation the division must return today.

Campus-wide DEI institutional transformation is a never-ending process that involves rigor in planning, investment, connection-building, implementation and evolution. Our review identified several culture-based, strategic, leadership, design and operational challenges that can be improved over the next 12-18 months in combination with some targeted investments, decisive leadership and adherence to a clarifying plan of action to significantly change the effectiveness and operations of the E&I division. Given all this, the strategic repositioning of the VCEI division can happen relatively quickly if this advice is followed.

These action steps will help the Vice Chancellor of E&I and the division build the resources centrally to **strengthen** the division's muscles; they will **sharpen** the internal strategy, structure, collaboration and operational excellence of the division; and they will provide integrative **leadership** to the campus community on DEI strategy, policy and capacity building. Collectively, these steps will take E&I at Berkeley to the next level and return it to national prominence in the field.

Exhibit 4.1. Ten Recommendations for UC Berkeley Vice Chancellor for Equity and Inclusion

Recommendation	Time	Urgency	Impact	Cost	Key Action Steps	Complicating Dynamics
1. Develop a 12- to 18-month acceleration plan to address leadership, operations and communication challenges within the division, and campus-wide. Such a plan potentially informs recommendations 2 through 10.	1-1.5 months	High	High	Low	<ul style="list-style-type: none"> • Align with Chancellor before, during and as the plan is defined • Highlight 5 key issues to center the plan • Identify a strong leader and support to guide this process full-time (a retiree?) • Appoint a tiger team of internal/external experts to own implementation • Develop 12- to 18-month timeline • Leverage internal UCB organizational development resources • Drive the plan internally & externally (plan drives to division) 	<ul style="list-style-type: none"> • The VCEI senior team is so stretched that there is difficulty executing • Need to allocate financial resources to ensure that this can happen • Tap a retired leader? • Temporary adjustment of duties in the division to execute
2. Develop a funding plan/request for targeted investment into the VCEI unit.	Synch with budget process	High	High	High	<ul style="list-style-type: none"> • To chancellor and part of fundraising priorities • 2-3 leaders at the Assistant VC level • 2-3 DEI capacity-building FTEs (Recommendation #6) • 2-3 administrative support roles • Discretionary resources • Campus-wide DEI activation budget 	<ul style="list-style-type: none"> • UC overall budget challenges overall • VCEI is clearly limited compared to national peers • Belief that VCEI has resources and can be more efficient • Need to hire top talent into these job roles through competitive national searches—not simply appointments or internal hires

Recommendation	Time	Urgency	Impact	Cost	Key Action Steps	Complicating Dynamics
3. Sharpen the Division of E&I unit portfolio.	3-6 months	High	High	Moderate to High	<ul style="list-style-type: none"> Consider a revised conceptual framework for the division amplifying “belonging” and Diversity–Diversity, Equity and Belonging Conduct a divisional time series/equity study of compensation and job roles Freeze any unit reallocation moves until you have an aligned plan that considers this report Consider moving graduate diversity to the graduate school Consider reallocating current staff FTE into new Strategic Diversity Leadership Unit (Recommendation #6) Hire/appoint a deputy CDO to lead campus-wide Strategic Diversity Leadership unit, which has deep higher education and strategic diversity leadership expertise (Recommendation #6) Strengthen the role of the Chief of Staff for E&I (line executive, staff executive, or Deputy CDO) – Who will lead within the division day-to-day? Who will be first responder to a campus DEI crisis? Consider which units may need to fold into E&I that are not at present 	<ul style="list-style-type: none"> VC has already begun conversation of realignment, before this report was completed Must maximize current open FTEs, thinking creatively, not one-step moves Strengthening, clarifying and reallocating job roles that have high-caliber leaders in them already Limited fungible resources DEI fundraising takes time
4. Develop an updated DEI framework for the UCB campus.	12 months	Moderate	High	Low	<ul style="list-style-type: none"> Chancellor aligns to this vision VCEI lead the process Chancellor appoint campus-wide committee and charge Align with Capital Campaign, Strategic Plan, Hispanic Serving Institution goal, African American Initiative Campus-wide planning process 	<ul style="list-style-type: none"> Is their senior leadership desire for a dedicated DEI activation framework? Need to establish a shared process for DEI planning in a world of competing priorities Alignment to current DEI efforts.

Recommendation	Time	Urgency	Impact	Cost	Key Action Steps	Complicating Dynamics
5. Develop a DEI campus-wide activation, accountability and coordination plan.	6 months	Moderate	High	Low	<ul style="list-style-type: none"> Align with Deans and VCs Identify DEI activation leads in every school, college, administrative unit Leads should be strategically positioned to guide DEI implementation Host a retreat with leads Regular convening of leads Solicit alignment to Recommendation #1 and #3 	<ul style="list-style-type: none"> The VCEI senior team is so stretched they will have difficulty executing.
6. Establish a new unit: Office of Strategic Diversity Leadership and Capacity Building within the E&I division.	6-12 months	Moderate	High	Moderate	<ul style="list-style-type: none"> Establish a new unit focused on DEI capacity building Hire a new Assistant VC level role to lead the unit Consider reallocating the Staff Diversity Initiatives, Faculty & Developmental Diversity, Institutional Research, Communications, and Equity & Inclusion Consider developing DEI leadership and capacity-building consulting roles Consider plan to leverage the DEI expertise of division experts 	<ul style="list-style-type: none"> UC budget challenges overall Reallocation of current FTE will get the unit set up fast, but who will lead it? VC needs a senior leader to guide this unit – we recommend at the Associate VP Deputy CDO level Perhaps appointing an interim that has high potential within the unit, to drive out in this important area? Perhaps a temporary buy-out with another unit in another area? A faculty member?
7. Develop a clear role for the <i>Othering and Belonging Institute</i> to have stronger campus-wide strategic impact, in addition to their scholarly and national impact.	6-12 months	Low	High	Low	<ul style="list-style-type: none"> Consider appointment of Director as Senior Advisor to VCEI or as AVC Integrate the belonging concept throughout the division and campus approach to DEI strategic planning Leverage O & B expertise in designing strategy 	<ul style="list-style-type: none"> Willingness of director to engage? Financial investment into enriched director role and unit to drive new efforts How to infuse the belonging vision?

Recommendation	Time	Urgency	Impact	Cost	Key Action Steps	Complicating Dynamics
8. Convene a northern California CDO round table with key leaders at Google, Twitter, Facebook, Uber, Gap and others.	12 months	Low	High	Low	<ul style="list-style-type: none"> • Convene leading CDOs • UCB steward a plan for a shared course of action to mutual benefit • Tie into capital campaign and fundraising strategy 	<ul style="list-style-type: none"> • The VCEI senior team is so stretched they will have difficulty executing. • Creating a compelling collective impact plan • Turning meetings into tangible impact (interns, dual-career solution, thought leadership, grants/gifts)
9. Develop a DEI Innovation Fund to drive impact and partnerships, campus-wide.	6-12 months	Low	High	High	<ul style="list-style-type: none"> • DEI Innovation and Partnership Fund to drive activation • \$250K-1M annual depending on the goals of the program • Align to DEI strategic framework 	<ul style="list-style-type: none"> • UC overall budget challenges overall • May need to come through DEI fundraising priorities • Critical to reshaping possibility on campus, empowering community, elevating VCEI relevance
10. Consider leading a team in the 2020 summer National Inclusive Excellence Leadership Academy.	90 Days	Low	High	Low	<ul style="list-style-type: none"> • May 2020 application due date • Five weeks long, all online • Develop a plan for the division, or for the campus, during the program? • Strategic coaching/consulting • Can be used to clarify many of Recommendations #1-10 	<ul style="list-style-type: none"> • Rigorous program • Time allocation to participate • Will help VCEI team and divisional leaders to be part of the national NIXLA 2020 summer community

SECTION 5: CONCLUDING THOUGHTS AND NEXT STEPS

We offer this report to the Vice Chancellor of the Division of Equity and Inclusion Dr. Oscar Dubón, Jr., as a way of strengthening DEI work at UC Berkeley and bringing the division back into national prominence and alignment with its original vision. While the division inherited some fallout from a series of financial issues and leadership turnovers, the remaining structure, pool of expertise, team and operations are dedicated, driven and already doing good work. In this way, the division holds enormous potential.

After a strong start over a decade ago, the UC Berkeley E&I division began to lag behind its peers. The department had grown bottom-heavy with division leadership spread too thin to function well, often taking on secondary roles. Its leader had become disconnected—from the office of the chancellor, who remains an enthusiastic DEI proponent, from the greater northern California community and from the heart of his own team and mission. As funding failed to grow and became constricted, the division's financial foundation and nimbleness began to flag. In a sense, the division was simply experiencing the wear and tear of time without clear leadership.

At the same time, whether we compare UCB to its peers across the country or look within the Berkeley community, E&I has amassed a divisional infrastructure admired by many—it has been a source of first-movers, created a deeply integrated and committed DEI community, and is structured well with a very senior leadership reporting role. Its towering strength remains the extensive DEI and cultural expertise already housed within the division. What this unit has amassed vertically is its superpower. In short, it has much to build upon.

As this discussion has enumerated, successful peer institutions have firmly established DEI infrastructures with well-oiled lateral and vertical components, as well as a solid, visible strategic plan to guide their work and the funding to undergird it. They are led by skilled executives who know how to hold a vision and connect people together to implement it. This formal structure is exactly what the doctor has called for here.

This report provides a detailed roadmap featuring the core steps required to reposition the University of California at Berkeley's Division of Equity and Inclusion once again as a national leader around the ever-growing issues of diversity, equity and inclusion. Berkeley's E&I offers tremendous and unique strengths, several outstanding internal programs and a long history in the field of higher education DEI. It is clear that this division and this school could, by taking the steps recommended in this report to strengthen its foundations, sharpen its edges and lead with acuity, quickly rise once again to the forefront of DEI work in American higher education.

How to Leverage this Report

As you consider these themes and recommendations and weigh your next actions, four ways to leverage this report stand out as particularly powerful. We recommend that you:

- (1) Share this report with the chancellor and schedule a meeting to discuss its findings as well as ways they can collaborate in response to the insights and recommendations presented here.
- (2) Use this report as an opportunity to engage with your colleagues in the cabinet about how they can also collaborate with you and your division in developing a shared path forward together.
- (3) Make this report available to employees within the division as well as to those who participated in various aspects of the external review, and to those in the DEI partner community mentioned in the report. This transparency in sharing the report will build trust and accountability with those who helped your division to achieve this investigation.

- (4) Plan for an all-division retreat directly following the 2020 academic year, where your team uses this report and its findings as a primary agenda to drive action steps moving forward to strengthen the division.

We were honored to work with the University of California Berkeley community in a series of conversations that focused on how they can renew themselves as a leading DEI institution for the 21st century, where every member of the faculty, staff and student body is valued and encouraged to reach their highest potential in service to the institution's strategic goals and the world at large.

On behalf of The Center for Strategic Diversity Leadership and Social Innovation, thank you for the opportunity to serve your intentions and efforts as you strengthen the Division of Equity and Inclusion. We at the Center for Strategic Diversity Leadership & Social Innovation look forward to your next steps and are proud to be a friend to your work.

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APPENDICES

Appendix A. Student Demographic Insights

Undergraduate Trends

Exhibit A.1. Undergraduate student demographic percent enrollment change trends, at select institutions 2015-2017²

Institution Name	Total URM	American Indian Alaska Native	Black/ African American	Latinx	Women
University of California Berkeley	18%	-7%	-8%	22%	12%
University of California Los Angeles	14%	22%	20%	13%	7%
University of California San Diego	28%	-19%	34%	28%	11%
Indiana University Bloomington	4%	-30%	-2%	10%	-16%
The Ohio State University Main Campus	7%	-12%	5%	12%	2%
University of Michigan Ann Arbor	17%	-19%	4%	30%	6%
University of Minnesota Twin Cities	18%	18%	16%	20%	6%
University of Texas Austin	5%	-6%	-1%	6%	4%
University of Virginia Main Campus	9%	-41%	8%	13%	-2%
University of Washington Seattle	12%	1%	19%	10%	2%
University of Wisconsin–Madison	8%	-8%	4%	11%	2%

Data Source: The Integrated Post-Secondary Education Data System (IPEDS), National Center for Education Statistics

Exhibit A.1 presents an undergraduate student demographic trend analysis from 2015 through 2017. We note:

- **URM.** Total underrepresented minority (URM) undergraduate enrollment (made up of three minorities combined) has increased at all the universities surveyed, with no university showing a decrease in the overall URM enrollment percent. This increase in trend is mainly fueled by Latinx enrollment at UC Berkeley. University of San Diego led with a 28% increase.
- **Women.** UC Berkeley shows the greatest increase in enrollment of women since 2015 among the selected universities, at 12%. Enrollment of women has suffered the most at Indiana University Bloomington, with a decrease of 16%.
- **Latinx** is the only minority with no observed decrease in undergraduate enrollment at any of the 11 universities surveyed. UC Berkeley enrollment has increased by 22%. The largest increase has been observed at the University of Michigan, Ann Arbor, at 30%, and the lowest increase at UT Austin, at 6%, although it is important to note that UT Austin enrolls the greatest number of Latinx students (9,312 in 2017).
 - Most institutions experienced greater than 10% growth in the presence of Latinx undergraduate students, with UC Berkeley experiencing a 22% jump (from 3,875 to 4,731), ranking behind only UC San Diego (28%, from 4,143 to 5,284) and the University of Michigan (30%, from 1,300 to 1,696) during this period.

- *American Indian/Alaska Native.* Please note that these numbers are usually very small and thus are sensitive to changes. That is, even a small increase or decrease in enrollment numbers will lead to large positive or negative percent changes. At every institution save for UCLA (22%), University of Minnesota (18%), and the University of Washington (1%) experienced declines in the percentage of American Indian and Alaska Native undergraduate student populations during this period.
- *Black/African American.* UC Berkeley was one of only three institutions that experienced a reduction in the number of Black/African American students during this period. UC Berkeley experienced the greatest percentage decline in Black/African American students during this period (-8%, from 583 to 535 students).
 - During this time, another institution in the UC system, UC San Diego, experienced the greatest percent increase in Black/African American students nationally, at 34% (going from 329 to 441 students).
 - The second and third largest percentage increase in Black/African American students were at UCLA (20%, from 883 to 1,059) and the University of Washington (19%, from 777 to 925).
- The UC Berkeley Latinx and African American/Black demographic trends no doubt shaped the development of the UC Berkeley African American Initiative, as well as the strategic prioritization of UC Berkeley achieving Hispanic Serving Institution status.

Graduate Student Trends

Exhibit A.2. Graduate student demographic percent enrollment change trends, at select institutions 2015-2017³

Institution	Total URM	American Indian/ Alaska Native	Black/ African American	Latinx	Women
University of California Berkeley	11%	-35%	-2%	17%	6%
University of California Los Angeles	12%	40%	-2%	17%	7%
University of California San Diego	14%	-69%	15%	16%	16%
Indiana University Bloomington	12%	-39%	12%	14%	0%
The Ohio State University Main Campus	19%	-36%	23%	18%	5%
University of Michigan Ann Arbor	19%	8%	14%	24%	10%
University of Minnesota Twin Cities	11%	-15%	8%	17%	1%
University of Texas Austin	4%	53%	3%	4%	-2%
University of Virginia Main Campus	22%	-56%	28%	17%	11%
University of Washington Seattle	15%	-1%	26%	13%	5%
University of Wisconsin–Madison	4%	8%	-2%	7%	0%

Data Source: The Integrated Post-Secondary Education Data System (IPEDS), National Center for Education Statistics

Exhibit A.2 presents a graduate student demographic trend analysis from 2015 through 2017. We note:

- *Women.* The percentage of women enrolled in graduate school increased at every institution, save UW-Madison (0% change), Indiana University Bloomington (0% change) and UT-Austin (-2% change).
 - UC Berkeley saw the greatest increase of women in graduate school, 12%, during the period.
- *URM* graduate student enrollment increased at every institution in the country.
- *Latinx* graduate student enrollment increased at every university as well, echoing the trend we observed in undergraduate enrollment.
- *Black/African American.* UC Berkeley has among the largest percent decrease in Black/African American graduate enrollment, shrinking from 300 to 293 students (-2%).

Appendix B. Faculty Demographic Insights

Exhibit B.1. URM and women tenure-track faculty percent change trends, by select institutions, 2015-2017

Institution Name	URM	American Indian/ Alaska Native	Black/ African American	Latinx	Women
University of California Berkeley	5%	200%	6%	2%	1%
University of California Los Angeles	9%	10%	10%	6%	11%
University of California San Diego	20%	-33%	19%	23%	17%
Indiana University Bloomington	12%	0%	17%	10%	0%
The Ohio State University Main Campus	8%	50%	6%	11%	6%
University of Michigan Ann Arbor	1%	-17%	5%	-2%	4%
University of Minnesota Twin Cities	11%	18%	13%	7%	3%
University of Texas Austin	3%	-50%	-6%	13%	3%
University of Virginia Main Campus	13%	0%	18%	8%	11%
University of Washington Seattle	-6%	-17%	-9%	-3%	-35%
University of Wisconsin–Madison	-4%	-29%	-4%	-3%	0%

Data Source: The Integrated Post-Secondary Education Data System (IPEDS), National Center for Education Statistics

Exhibit B.1 presents a tenure-track faculty demographic trend analysis between 2015 and 2017. Focusing on the results for women and underrepresented minorities:

- *Underrepresented minorities.* The highest increase in URM tenure-track faculty was observed at UC San Diego with 20% growth and the lowest observed change was a decrease of 6% at the University of Washington Seattle in the period discussed.
 - UC Berkeley experienced a 5% increase in URM tenure-track faculty, from 133 to 140.
- *Women.* Similar trends are observed for women tenure-track faculty, with the highest increase at UCSD (17%) and the lowest at the University of Washington (-35%).
 - UC Berkeley had a 1% increase in the number of tenure-track women faculty members.

Appendix C. Management Demographic Insights

Exhibit C.1. Benchmarking trend analysis by select institutions and demographic categories, 2015-2017

Institution Name	URM	American Indian/ Alaska Native	Black/ African American	Latinx	Women
University of California Berkeley	-34%	33%	-41%	-32%	-39%
University of California Los Angeles	-7%	0%	-11%	-5%	-18%
University of California San Diego	-24%	-100%	4%	-33%	-11%
Indiana University Bloomington	51%	100%	38%	82%	13%
The Ohio State University Main Campus	12%	-15%	10%	22%	13%
University of Michigan Ann Arbor	6%	100%	0%	27%	7%
University of Minnesota Twin Cities	4%	-57%	29%	-8%	8%
University of Texas Austin	36%	50%	37%	35%	26%
University of Virginia Main Campus	15%	0%	16%	0%	18%
University of Washington Seattle	20%	300%	18%	19%	21%
University of Wisconsin–Madison	2%	0%	12%	-11%	2%

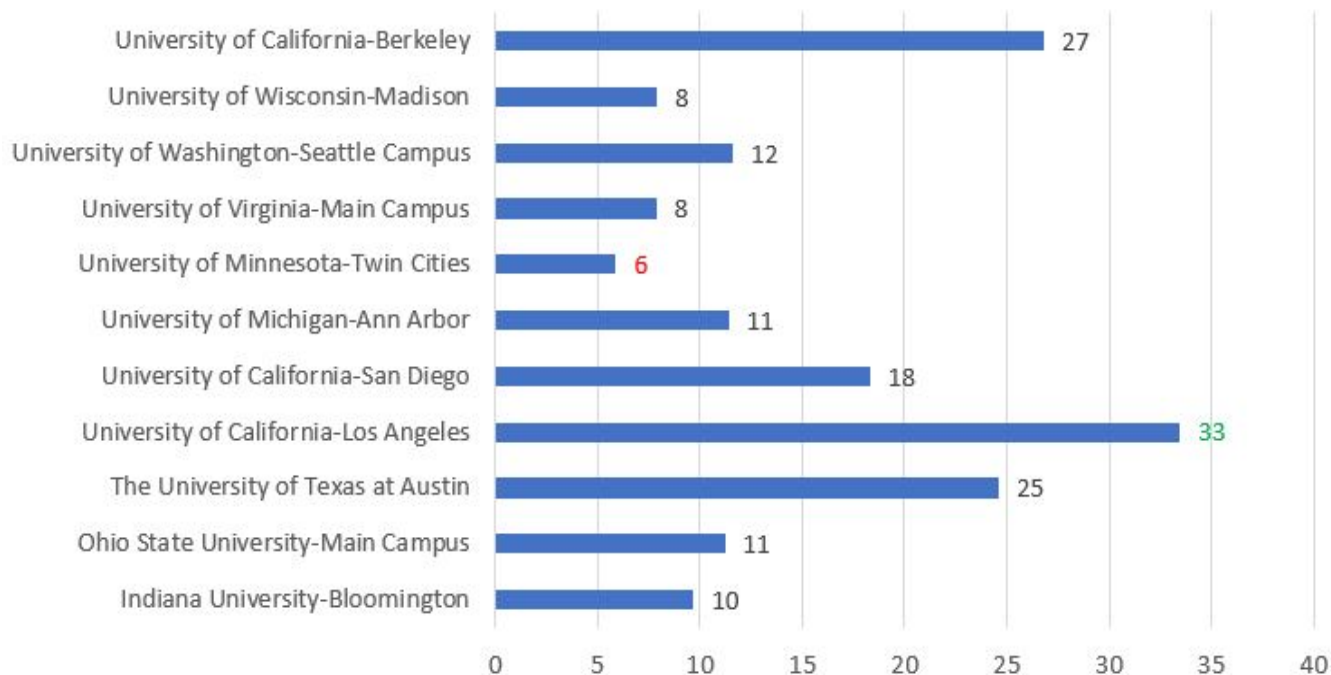
Data Source: The Integrated Post-Secondary Education Data System (IPEDS), National Center for Education Statistics

Exhibit C.1 presents a demographic trend analysis for management-level leadership on campus between 2015 and 2017. Focusing on the results for women and underrepresented minorities:

- **Underrepresented minorities.** Indiana University Bloomington grew its URM management the most, at 51% over the period.
 - UC Berkeley lost the most in terms of underrepresented minorities in management, dropping 34%.
- **Women.** The greatest increase in women in management was seen at the University of Texas Austin, at 26% over the period.
 - On the downside, UC Berkeley lagged the entire cohort, with a 39% drop in women in management over the same period.

Exhibit C.2. URM managers per 100 white managers in the 2017 academic year

URM Managers for every 100 White manager



Data Source: The Integrated Post-Secondary Education Data System (IPEDS), National Center for Education Statistics

These data present URM Manager numbers irrespective of gender for every 100 White managers for each select institution in the 2017 academic year.

- UC Berkeley is ahead of most of its competitors, with 27 underrepresented minority managers for every 100 White managers.
- UCLA was ranked highest on this indicator, with 33 URM managers for every 100 White managers.
- University of Minnesota trailed the pack with only 6 URM managers for every 100 White managers.

Appendix D: Selected Comments from Study Participants

Reflective Comments: Strengths

The following quotes reflect the many positive comments we gathered from individual participants. Please note that these quotes are the raw perceptions of participants and may not reflect actual conditions.

- “Equity and Inclusion has some (many) gifted, talented, experienced staff members who are very passionate about their work with students. The division also has some excellent leaders who are leading the way, not only at UC Berkeley, but also nationally (for example, Basic Needs) and building model programs within the division. There are talented fundraisers who find creative ways to build new services and programs even while the campus has been in fiscal crisis.”
- “Division programs are meaningful and purposeful. There's a huge need for our programs due to campus and national climates being increasingly hostile, aims in moving towards an HSI, and the lacking representation on campus. E&I is a strength and more important to the campus than ever.”
- “The division has helped facilitate the development of comprehensive and holistic student support model for culturally diverse students. Diverse student demand for these services is HIGH, and when students engage with these programs, many times it helps cultivate community. Some programs have the space to be innovative, and they are running with it.”
- “The strength of the division is in their programs. Everyone in E&I is deeply committed to serving students, staff or faculty. But there are definitely some programs that are leading the way nationally in terms of the services they provide and the conversations they guide. Two strong examples that come to mind are the Basic Needs Initiatives and Undocumented Student Program. These programs have dynamic directors at the helm that have turned their programs into powerhouses.”
- “Leadership in E&I have helped build a new funding model for students with disability programming that ties funding to actual need and number of students served and services provided. This model has been very responsive to student need and program growth in terms of budget and staffing.”
- “The division has many experts with years of experience to guide and support students, staff and faculty, and to inform leadership, the campus and outside communities. Through this expertise, we are well positioned to help guide the Chancellor's many diversity initiatives.”
- “I'm glad to see more attention to disability and LGBTQ issues. I appreciate the way in which E&I elevates the values of equality, inclusion and diversity on our campus. I see considerable usefulness in climate survey work led by E&I. The VCEI and his team model inclusion even in difficult situations. I am sure both have provided valuable advice to the chancellor and provost and I am glad they have a seat at the table.”
- “The Haas Institute for a Fair and Inclusive Society (now the Othering and Belonging Institute) has really made a difference on the campus's faculty diversity hiring initiative. Fourteen faculty from diverse research area were hired through this initiative, and it was developed by the vice chancellor's office. Each of these research areas is led by a chair who organizes a cluster of affiliated and core faculty leaders/members: 1) Diversity and Democracy, (2) Religious Diversity, (3) Disability Studies, 4) Race Ed. and Diversity, 5) LGBTQ Citizenship, 6) Economic Disparities, and 7) Health Disparities. This is a national model of strength.”
- “Through the HAAS cluster structure, we've been able to inspire course creation, which has direct impact on student experience of equity and inclusion, and is a topic that address racial disparities in addition to ableism and other dominant forces that create conditions to exclude. In addition to

the faculty and course impact, the Institute leads cross-campus programming, namely our Research to Impact series that brings leading scholars on issues relevant to the cluster topics.”

- “I would like to highlight the incredible work that is led by our students within the division. Any of our diverse students labor intensively to create community for one another (and themselves) to outreach and recruit more diversity and to support their own retention/the retention of their communities at large.”
- “We have a remarkable line-up of DEI and cultural expertise and programs that our leadership should get involved more completely on campus. E&I are the cultural experts for the campus. They are dynamic and can respond to the issues of diverse students. Where would we be without our diverse cultural units?”
- “E&I has become a sort of ‘go-to’ for diverse student support services. This is a strength. Programs working together for a similar cause and voice on campus have created a certain solidarity among some units.”
- “By working together from the ‘public service’ department in CEP, E&I can influence K-12. Working with admission to understand admissions requirements helps bring students into the university, and then there's a hand-off of sorts to the campus programs for support. This pipeline model is a strategic asset for the university.”
- “The E&I division elevates the issues. Strong support with Faculty Welfare around program review for departments. Development of department diversity plans. Training of equity officers. Supporting and championing of programs on other parts of the campus. Training for units like the MEP program. Leadership in areas like basic needs, Undergrad Scholars, Dreamers and more. Also the VCEI’s personal leadership.”
- “The presence of a Vice Chancellor for Equity and Inclusion and a division with resources and authority to lead shows the university’s commitment. While the work they do is not perfect, we need the E&I division to be successful, because they legitimize the entire commitment of the university. Like it or not, the VCEI is the living embodiment of DEI at UCB. Over the last 10 to 12 years, this division has transformed the campus in substantive ways. We are a national model and need to get back to being that national leader in all ways, just as we are in some of our student-centered programs.”

Reflective Comments: Concerns

The following selection of quotes represent the comments expressing concerns that we gathered from individual participants. Please note that these quotes are the raw perceptions of participants and may not reflect actual conditions.

- “I feel that we often express our concerns and are vocal about our resource deficits, yet that goes largely unheard. We are tasked with supporting a large volume of students with complex needs and have no room for growth. Our staff are overworked and do their best to maximize their resources. The services we provide only grow in complexity year to year, but we have no way of expanding physically.”
- “Campus loves to talk about the work they do and highlight certain communities, but the actual funding and support needs to increase.”
- “Many of the students in our programs are often asked to be featured in E&I videos, stories and other promotional materials for the university. They grow resentful of being asked to share their

stories and successes knowing that the university isn't investing in the programs that make the success more possible. Fundraising is important, but this emotional labor should be acknowledged, and our students supported."

- "Student focus is strong, but staff/faculty efforts are lacking. The VEI team is running on bare-bones staff, which limits ability to perform to fullest. Funding limitations to pursue bigger projects."
- "Lack of communication/direction, especially from leadership. Lack of uniformity: each of the sub-units seem to be going own way—no divisional consensus."
- "Internal communication, as many people do not know what is going on within the division. I also know that many people feel they are not able to get the information or responses they need from divisional leaders and colleagues in a timely fashion. These challenges go beyond the usual limitations of everyone being busy, which I know people understand."
- "There does not seem to be a comprehensive strategic plan around equity and inclusion. Efforts are very 'activity based' versus 'outcome; based. We measure success by how many meetings and committees we have. There is a general randomness and lack of coordinated effort. Lots of attention to 'pieces' of the work without a long-term strategic approach. We have no vision and have lost our analytic focus in the work."
- "The division feels very divided. I don't see how we complement each other and the work we are doing. There are never status updates or highlights about the work we are doing. I never get to hear the challenges other units are facing. There is a lost opportunity to help each other that can only be accomplished with pulling the units together."
- "My top concern at the moment is about culture, climate, morale and trust throughout E&I. I do not believe we are where we need to be on this for the division and all its staff to thrive, and beyond that to be able to lead by example for the campus."
- "We need more collaborative, generative and equitable ways to achieve results centered around excellence and growth with a deeper investment from the university. Many of the staff are responsible for a lot of work that is beyond the scope of their job descriptions. There is a lack of equity in HR classifications, titles, salary and what is actually required and expected to be successful in our roles."
- "Better onboarding, training and professional mentorship during the first 12-18 months of employment in all roles across the Division of Equity and Inclusion. The onboarding should involve a clear understanding of the roles and responsibilities required by the job and a clear path to advancement. More equitable investments for our students."
- "I think we need more of a shared sense of what our divisional focus is and what we are trying to accomplish together, rather than just seeing ourselves as a collection of separate programs doing our own things under the same umbrella."
- "Currently, the majority of our resources go toward student-facing programs, and that is often how we talk about E&I. But we also have other areas of work. How does this all hold together for us internally? And how do we want to present our work to the rest of campus? We are stretched so thin, I don't think leadership (E&I) ever has a chance to work with the schools and colleges."
- "I think there is a larger equity issue which exists within the Division of Equity & Inclusion, especially when compared to other student-facing divisions on campus. Staff members within both divisions essentially hold the same role to their students, but one is in a better situation to do the work than the other."

- “Leadership: I am concerned about two areas of leadership in E&I. First, all E&I leaders used to meet monthly to discuss shared interests and concerns to solve problems as a team. Our current leadership discontinued these meetings. As a result, I feel much less connected to the division and I feel that E&I programs are not working as collaboratively as in the past.”
- “We are falling behind in obtaining the space we need to meet growth of students we serve.”
- “The E&I division is best set up to serve students, not faculty or staff. While they say that they are trying to serve everyone, the reality of their structure, staffing and funding says otherwise. It might be most prudent for them to explicitly serve students and let Faculty Welfare take the lead on DE&I efforts for faculty, and Central Human Resources take the lead on DE&I for staff. E&I could still be a valuable and trusted partner, but the resources could be put where there is a better opportunity to focus on faculty and staff populations.”
- “The VC for E&I doesn't really serve as a CDO like most organizations have these days, so we really don't have anyone in that role. I think the campus would benefit enormously from a CDO and a focused DE&I strategy.”

ABOUT THE AUTHORS

The Center for Strategic Diversity Leadership & Social Innovation: Research Team

Damon A. Williams, PhD, is a scholar, leader and educator passionate about making organizations inclusive and excellent for all, creating equitable educational outcomes, and activating learning and leadership in ways that are transformative and inspiring of new possibilities. Dr. Williams is one of the nation's recognized experts in strategic diversity leadership, youth development, corporate responsibility and organizational change. He is currently Chief Catalyst for the Center for Strategic Diversity Leadership & Social Innovation (CSDLSI) and a Senior Scholar and Innovation Fellow at University of Wisconsin-Madison's Wisconsin Equity and Inclusion (Wei) Laboratory.

From 2013-2017, Dr. Williams led a \$250M social impact portfolio for the world's largest youth development company, Boys and Girls Clubs of America, representing the interests of nearly four million diverse youth globally, as the Senior Vice President for Programs and Chief Education Officer. In this role, he led the national program strategy for BGCA's strategic outcome areas—academic success, good character and citizenship, and healthy lifestyles—with a focus on strengthening the daily Club experience and creating a new generation of leaders to expand the pipeline into higher education.

Prior to joining BGCA, he served for five years as Associate Vice Chancellor, Vice Provost, Chief Diversity Officer and member of the educational leadership and policy analysis faculty at the University of Wisconsin-Madison. He has authored or co-authored dozens of books, monographs and articles that have influenced thousands worldwide.

Sallye McKee, PhD, National Director of Institutional Engagement, CSDLSI

Throughout her 40-year career, Dr. McKee has led as Chief of Student Affairs, in enrollment management and as Chief Diversity Officer at multiple institutions. Her professional experience includes supervisory oversight of multi-million-dollar program budgets and unit portfolios, supervising affirmative action processes, admissions, financial aid, student life and more. On five different occasions, she has successfully launched campus diversity offices and partnered with the president, provost, deans and faculty members to create new campus-wide diversity plans and initiatives. Dr. McKee received her PhD in Curriculum and Instruction from the University of Minnesota, and an MS from the University of Chicago.

Mr. Akshay Agrawal, Researcher and Data Scientist, CSDLSI

Mr. Akshay Agrawal is a data scientist with over two years of experience in analytics, data quality management and customer service. He is currently engaged in conducting primary research at a state university in Arizona. He recently received his master's degree in Business Analytics from California State University, East Bay.

Ms. Deiadra Gardner, Director of Operations and Outreach, CSDLSI

Ms. Deiadra Gardner is writer, researcher and editor with over 10 years' experience in project management, program design and implementation, and survey instrument design and implementation. Ms. Gardner has previously served as chief of staff to various university administrators and corporate executives. She earned her BA in English from the University of Wisconsin-Madison.

Ms. Daria Astara, Editor, CSDLSI

Ms. Daria Astara is a communications consultant with over 20 years' experience. She ran the marketing communications units at two private asset management firms in New York before shifting to focusing on message frameworks for financial institutions, marketing agencies, business leaders and thought leaders. She holds a BA in Economics from Cornell University.

About the Center for Strategic Diversity Leadership & Social Innovation (CSDLSI)

The Center for Strategic Diversity Leadership and Social Innovation (CSDLSI) was founded in 2017 by Dr. Damon A. Williams. Serving as the center's Chief Catalyst, Dr. Williams is an award-winning scholar, educator, speaker, strategist, consultant and social-impact leader with over 22 years of experience working with more than 1,000 colleges and universities, corporations, nonprofit and government agencies. By leveraging evidence-based resources and best practices, validated research instruments and scales, and cutting-edge technology, the center has positioned itself to be a catalyst for change across all sectors.

CSDLSI's mission is to empower leaders, produce results and help corporations, organizations and institutions to create a more inclusive environment and community. The CSDLSI's work is guided by the principle of *Strategic Diversity Leadership*—the evidence-based approach to leading diversity, equity and inclusion centered strategy, leadership development, change management and research. The center works to strengthen organizational infrastructure and develop strategic planning capabilities by adhering to the center's principles: always begin with “why”—using questions to guide its approach when developing project methodology; apply culturally relevant approaches; and search for and curate excellence, always working to reapply the best solutions. The center achieves its goal by bringing academic credibility and a pragmatic focus to all its projects. Dr. Williams and the CSDLSI team uses design thinking to create new possibilities that can accomplish real and meaningful change in organizations and communities.

CSDLSI specializes in and offers the following services:

- **University and Organizational Research and Evaluation**, such as organizational climate and culture research, campus climate and field studies with formal written evaluations and mass survey instrument development and administration.
- **Organizational Change Management and Strategic Planning Consultation**, including leading organizational redesign and change management efforts; designing vertical and lateral diversity structures; diversity planning in higher education; chief diversity officer (CDO) role design; developing diversity accountability strategies; establishing strategic faculty and staff hiring and retention programs; and developing general education diversity distribution requirements.
- **Professional Development and Training Programs (both in-person and online)** designed to focus on capability building, strategic diversity leadership development, and diversity, equity and inclusion (DE&I) research and best practices. Each summer, the CSDLSI offers the National Inclusive Excellence Leadership Academy (NIXLA), a five-week, online, team-based training and professional coaching and development program. Some of the topics featured during the NIXLA are:
 - Strategic Diversity Leadership
 - The Inclusive Excellence Model
 - Higher Education and Shared Governance
 - Expanding Access to Higher Education
 - Faculty and Staff Diversity, Recruitment and Retention Strategies and Best Practices
 - Increasing Women and Underrepresented/ Minority Student participation in STEM
 - Diversity Planning and Implementation
 - Understanding the Centennial Generation
 - Youth and Leadership Development
 - Accountability and Incentives
 - Diversity Crisis Response
 - Assessing and Improving Campus Climates
 - Managing Your Organizational/ Institutional Diversity Brand
 - Fundraising for Diversity and Inclusion

- **Corporate and Executive Consultation and Coaching**
 - Executive Education and Coaching
 - Thought Leadership Strategy and Development
 - Leadership Development and Executive Coaching Training Program Design

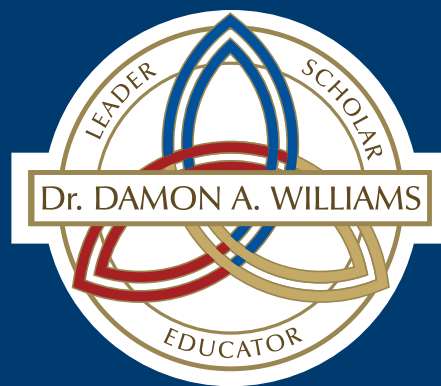
Some of the CSDLSI's past and present clients and partners include:

- | | | |
|----------------------|--|----------------------------|
| • BSE Global, Inc. | • National Black MBA Association, Inc. | • Syracuse University |
| • NCAA | • Kellogg Community College | • Georgia State University |
| • FedEx Ground | • Cal Poly University | • Agnes Scott College |
| • American Airlines | • Carnegie Mellon University | • University of Denver |
| • OHM Advisors | • Florida Gulf Coast University | • UC Berkeley |
| • TFA-South Carolina | | |

¹ⁱⁱ It is important to recognize that only two alumni partners and two students participated in this study. We worked with UCB E&I leadership to identify a group of participants to drive the study. We sent three waves of recruitment follow-up and worked with UCB staff. While we feel confident in the direction of these findings, the general participation could have been stronger. While the UCB E&I team were highly dedicated, competent and engaged, capacity issues appeared in our study because they had limited personnel in their administrative and operational core team to put towards our project. This factor resulted in significant delays in data collection, overall timeline and the ability to report insights from more participants.

² Undergraduate enrollment percent changes amongst URM minorities at select institutions from year 2015 to 2017. Formula is $\{(2017_Enrollment - 2015_Enrollment) / 2015_Enrollment\} * 100$.

³ Undergraduate enrollment percent changes amongst URM minorities at select institutions from year 2015 to 2017. Formula is $\{(2017_Enrollment - 2015_Enrollment) / 2015_Enrollment\} * 100$.



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